

CALL TO ORDER - 2:00 PM

Mr. Pagán

1. Executive Session | Facility Governing Body Report

- NYC Health + Hospitals | Woodhull

Semi-Annual Governing Body Report (Written Submission Only)

- NYC Health + Hospitals | Coler Long Term Care
- NYC Health + Hospitals | Gouverneur Nursing Facility

2022 Performance Improvement Plan and Evaluation (Written Submission Only)

- NYC Health + Hospitals | Cumberland Gotham Center

2. OPEN PUBLIC SESSION - 3:00 PM

3. Adoption of the Board of Directors Meeting Minutes – July 27, 2023

4. Chair’s Report

Mr. Pagán

5. President’s Report

Dr. Katz

6. Adopting by the Board of Directors of New York City Health and Hospitals Corporation (the “System”), pursuant to Article 57-A of the New York State Arts and Cultural Affairs Law, the applicable provisions of the Retention and Disposition Schedule for New York Local Government Records, issued by the Commissioner of the New York State Education Department, (the “LGS-1”) as revised by the System’s Records Management Governance Committee for use by all workforce members in legally disposing of System records.

Mr. Pagán

(Presented Directly to the Board of the Directors: 09/28/2023)

Vendex: NA / EEO: NA

7. Adopting the attached Mission Statement, Performance Measures and additional information to be submitted on behalf of New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) for Fiscal Year 2023 to Office of the State Comptroller’s Authorities Budget Office (the “ABO”) as required by the Public Authorities Reform Act of 2009 (the “PARA”).

Mr. Pagán

(Presented Directly to the Board of the Directors: 09/28/2023)

Vendex: NA / EEO: NA

8. Authorizing New York City Health and Hospitals (the “System”) to sign a 5-year license terminable by the System without cause with K & M Medical PLLC Group d/b/a Mobile Vascular Physicians (“MVP”) for MVP’s use of 414 sf at NYC Health + Hospitals/Carter (“Carter”), 216 sf at NYC Health + Hospitals/Coler (“Coler”), 120 sf at NYC Health + Hospitals/McKinney (“McKinney”), and 125 sf at NYC Health + Hospitals/Seaview (“Seaview”) as examination rooms in connection with MVP’s vein care practice at initial rates of \$47/sf at Carter, \$57/sf at Coler, \$25/sf at McKinney and \$40/sf at Seaview for an initial yearly fee of \$74,859 for the four spaces to increase by 3%/year for a total over the 5-year term for the four spaces of \$177,698.

Mr. Pagán

(Presented Directly to the Capital Committee: 09/11/2023)

Vendex: NA / EEO: NA

<p>9. Authorizing the New York City Health and Hospitals Corporation (the “System”) to sign a five-year license agreement with Tasty Picks, Inc. #2 (“Tasty Picks”) for its use and occupancy of 2,500 square feet at NYC Health + Hospitals/Metropolitan (“Metropolitan”) for a retail food operation at an initial rate of \$30/square foot or \$74,400 per year to increase by 2% per year for a total occupancy fee over the term of \$107,723.63 such agreement to be terminable by either party on thirty days’ notice without cause (Presented Directly to the Capital Committee: 09/11/2023) Vendex: NA / EEO: NA</p>	<p>Mr. Pagán</p>
<p>10. Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a requirements contract with Jemco Electrical Contractors, Inc. (the “Contractor”), for a not to exceed amount of \$10,000,000, to provide general construction services on an as-needed basis at various NYC Health + Hospitals’ facilities over a term of two years. (Presented Directly to the Capital Committee: 09/11/2023) Vendex: Approved / EEO: Approved</p>	<p>Mr. Pagán</p>
<p>11. Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a requirements contract with BA Global Construction Corp. (the “Contractor”), for a not to exceed amount of \$10,000,000, to provide general construction services on an as-needed basis at various NYC Health + Hospitals’ facilities over a term of two years (Presented Directly to the Capital Committee: 09/11/2023) Vendex: Approved / EEO: Approved</p>	<p>Mr. Pagán</p>
<p>12. Authorizing New York City Health and Hospitals Corporation (the “System”) to execute a contract with Jemco Electrical Contractors (the “Contractor”) to undertake a renovation of the Behavioral Health Units located on the 12th, 18th, and 20th Floors at Bellevue Hospital Center (“Bellevue”), to create a ligature resistant environment, for a contract amount of \$12,779,569 with a 10% project contingency of \$1,277,956 to bring the total cost not to exceed \$14,057,525 (Presented Directly to the Capital Committee: 09/11/2023) Vendex: Approved / EEO: Approved</p>	<p>Mr. Pagán</p>
<p>13. Authorizing the Executive Director of MetroPlus Health Plan, Inc. (“MetroPlus or “the Plan”) to negotiate and execute a contract with HealthEdge Software, Inc. (“HealthEdge”) to procure a new replacement, modern core processing system for an amount not to exceed \$109,000,000 for a total 12-year contract period, with two five-year renewals subject to future approval by the Board of Directors of the NYC Health + Hospitals. (Presented Directly to the MetroPlus Health Board: 09/14/2023) Vendex: Approved / EEO: Pending</p>	<p>Ms. Hernandez-Piñero</p>
<p>14. Authorizing New York City Health and Hospitals Corporation (the “System”) to execute a contract with IVCI, LLC (“IVCI”) for audio-visual design, installation and support services for a term of five years with two 1-year renewal options exercisable only by the System, for an amount not to exceed \$65,000,000 (Presented Directly to the Information Technology Committee: 09/11/2023) Vendex: Approved / EEO: Approved</p>	<p>Mr. Pagán</p>
<p>15. Authorizing New York City Health and Hospitals Corporation (the “System”) to execute a contract with Experian, Inc. (“Experian”) for EDI clearinghouse services for a term of three years with two 1-year renewal options exercisable only by the System, for an amount not to exceed \$25,000,000 (Presented Directly to the Information Technology Committee: 09/11/2023) Vendex: Pending / EEO: Pending</p>	<p>Mr. Pagán</p>
<p>16. Authorizing New York City Health and Hospitals Corporation (the “System”) to extend its current contract with Optum, Inc. (“Optum”) for an additional 12-month term for an amount not to exceed \$5,862,541 (Presented Directly to the Information Technology Committee: 09/11/2023) Vendex: Pending / EEO: Approved</p>	<p>Mr. Pagán</p>

COMMITTEE AND SUBSIDIARY REPORTS

- Governance Committee
- Information Technology Committee
- Capital Committee
- HHC Capital Corporation Subsidiary
- MetroPlus Health Subsidiary

>>Old Business<<

>>New Business<<

>>Adjournment<<

Ms. Wang
Mr. Pagán
Mr. Pagán
Ms. Wang
Ms. Hernandez-Piñero

Mr. Pagán



NEW YORK CITY HEALTH AND HOSPITALS CORPORATION

A meeting of the Board of Directors of New York City Health and Hospitals Corporation was held in room 1701 at 50 Water Street, New York, New York 10004 on the **27th day of July, 2023** at 2:00 P.M., pursuant to a notice, which was sent to all of the Directors of New York City Health and Hospitals Corporation and which was provided to the public by the Secretary. The following Directors participated in person:

- Ms. Freda Wang
- Dr. Mitchell Katz
- Ms. Erin Kelly
- Dr. Vincent Calamia
- Ms. Molly Wasow Park - Left at 3pm
- Ms. Karen St. Hilaire
- Dr. William Fisher
- Ms. Anita Kawatra
- Ms. Sally Hernandez-Piñero
- Ms. Barbara Lowe
- Mr. Robert Nolan
- Dr. Patricia Marthone
- Dr. Michelle Morse
- Ms. Jackie Rowe-Adams

Freda Wang, Vice Chair of the Board, called the meeting to order at 2:10 p.m. Ms. Wang chaired the meeting and Colicia Hercules, Corporate Secretary, kept the minutes thereof.

Ms. Wang noted that Erin Kelly is representing Deputy Mayor Anne Williams-Isom, Dr. William Fisher is representing Deepa Avula and Dr. Michelle Morse is presenting Dr. Ashwin Vasan- all in a voting capacity.

EXECUTIVE SESSION

Upon motion made and duly seconded, the members voted to convene in executive session because the matters to be discussed involved confidential and privileged information regarding patient medical information.

OPEN SESSION

The Board reconvened in public session at 3:13 p.m.

Ms. Wang noted that Erin Kelly is representing Deputy Mayor Anne Williams-Isom, Dr. William Fisher is representing Deepa Avula, and Dr. Michelle Morse is presenting Dr. Ashwin Vasan- all in a voting capacity.

ACTION ITEM 3 - ADOPTION OF MINUTES

The minutes of the Board of Directors meeting held on June 29, 2023 were presented to the Board. Then on motion duly made and seconded, the Board unanimously adopted the minutes.

RESOLVED, that the minutes of the Board of Directors Meeting held on June 29, 2023 copies of which have been presented to the Board be, and hereby are, adopted.

ITEM 4 - CHAIR'S REPORT

Ms. Wang advised that during the Executive Session, the Board received and approved the governing body oral and written report from NYC Health + Hospitals/Metropolitan.

The Board received and approved the 2022 annual performance improvement and evaluation plan written submission from NYC Health + Hospitals/ Gotham Health, Belvis.

The Board also received and approved the semi-annual governing body written submission from NYC Health + Hospitals/Woodhull.

The Board also received and approved the semi-annual governing body written submission from NYC Health + Hospitals/Bellevue.

CORPORATE OFFICER APPOINTMENT

The Governing Body reviewed and approved the Governing Committee proposal to appoint Ivelesse Mendez as Vice President and Chief Diversity Equity and Inclusion Officer. Ms. Wang congratulated Ms. Mendez on her appointment.

VENDEX APPROVALS

Ms. Wang noted there are two items on the agenda requiring Vendex approval and that, both have that approval. There are three items from previous Board meetings pending Vendex approval. No Vendex approval has been received since the Board last met.

The Board will be notified as outstanding Vendex approvals are received.

ACTION ITEM 6:

Dr. Calamia read the resolution

Authorizing the New York City Health and Hospitals Corporation (the "System") to execute an agreement with **Rapid Reliable Testing, LLC d/b/a DocGo, Inc. ("DocGo")** for time-sensitive and short-term clinical and support staffing at any of a variety of Emergency Response Alternative Care Sites ("ERACS") during a period of an emergency response as directed by the System's President with appropriate notification to the Board. The initial term shall be three years with two one-year options to renew, solely exercisable by the System. The contract shall not have a pre-established not-to-exceed amount. (Presented to the Medical and Professional Affairs Committee: 07/10/2023)

David Silvestri, MD, Senior Assistant Vice President, Emergency Management, provided background information regarding the Special Needs Shelters and current state, highlighting that there is no contract in place to fulfill clinical staffing at such sites. Dr. Silvestri discussed the deployment of ERACS services, funding sources and provided an overview of the RFP criteria, procurement process, vendor diversity and vendor performance history.

In response to comments and questions from the Board, Dr. Silvestri explained that there will be significant strategic planning with the vendor. In terms of language accessibility, the vendor has their own language services which is complimented with the System's internal 200+ language support services.

Historically, Dr. Silvestri added, this vendor has prioritized the System during high need times. There are no significant concerns about their performance.

The System was provided with targeted recommendations around staffing for these ERACS from outside sources instead of using internal resources. This contract builds on these recommendations.

After discussion, upon motion duly made and seconded, the Board unanimously approved the resolution.

RECUSAL: Dr. Vincent Calamia recused from the meeting for the discussion of action item 7.

ACTION ITEM 7:

Ms. Wang read the resolution

Authorizing the New York City Health and Hospitals Corporation (the "System") to execute an agreement with **OptumInsight, Inc. ("Optum")** for contact center services for an initial term of five years with two one-year options solely exercisable by the System in an amount not to

exceed \$145,593,595 for the entire contract term
(Presented to the Finance Committee: 07/10/2023)

Lisa Hendrix, Senior Assistant Vice President Ambulatory Care & Population Health, discussed the background information and current state of the contact center services. Ms. Hendrix provided an overview of the RFP development and goals, RFP criteria and procurement process. Ms. Hendrix also provided background information on Optum, including details on their experience with other systems in the healthcare field. From a vendor diversity perspective, Optum's MWBE utilization plan is 36 percent.

In response to questions from the Board, Ms. Hendrix explained that there have been significant improvements in the contact center services. Some of the areas of focus have been streamlining processes and protocols, cross training and education, building internal infrastructure and capabilities, vendor performance improvement, monitoring key performance measures such as the speed of answering calls, abandoned rates and overall patient satisfaction.

Ms. Hendrix stated that the goal is to have less dependence on the vendor's technology and instead build the System's technology capacity to enable the System to provide more of these services internally. She explained that, while it is strategic to supplement the System's staff through a vendor in times of sharply increased call center usage, it is never good to rely on the technological platforms of a vendor because that is not cost efficient and it tends to make the System too reliant on its vendors.

After questions regarding behavioral health, Ms. Hendrix confirmed that the contact center does not currently handle behavioral health calls. With the remodeling of the Borough based call center to a clinical service delivery model, the call center is now equipped with field experts to address callers' needs and is able to cross-train in other clinical areas for quality controls and improved patients experience.

The Board complimented Ms. Hendrix and her team for their work.

After discussion, upon motion duly made and seconded, the Board unanimously approved the resolution.

ITEM 5 - PRESIDENT REPORT

RESPONDING TO THE HUMANITARIAN CRISIS - SERVICES FOR ASYLUM SEEKERS

To meet the demands of housing the burgeoning asylum seeker shelter population, this month the System assumed administration of another humanitarian center at the Crown Plaza Hotel near JFK Airport. In addition,

there will be a HERRC tent facility on the grounds of the Creedmoor Psychiatric Center in Queens with room to accommodate 750 to 1,000 adults.

To date, humanitarian centers have provided asylum seekers and their children a one-stop concentration of services, including medical care, nutrition, language access, mental health support, school enrollment, social programs, technology, and reunification resources.

NYC HEALTH + HOSPITALS STATEMENT ON ANTI-RACISM AND NONDISCRIMINATION

Structural racism is an increasingly recognized national problem. NYC Health + Hospitals acknowledges that structural racism is a major barrier to equitable health care, which is an NYC Health + Hospitals core value and a significant factor in creating health care disparities.

In addition, NYC Health + Hospitals recognizes that structural racism - the way in which society fosters racial discrimination through systems of housing, education, employment, criminal justice, and other institutionalized practices - has been a significant factor in creating health care disparities seen in the United States, as evidenced among indigenous peoples and populations of color. These disparities include higher death rates, shorter life spans, and poorer outcomes in the face of chronic diseases.

NYC Health + Hospitals aims to contribute to a health care landscape and workforce environment free of discrimination or bias on the basis of race, color, national origin, alienage or citizenship status; religion/creed; gender identity, disability; age, pregnancy; criminal record, marital status; genetic information; sexual orientation; veteran/military status; status as a victim or witness of domestic violence; weight, height, and/or any other protected class covered by Federal, State and/or local anti-discrimination laws.

NYC HEALTH + HOSPITALS AMONG AMERICA'S MOST SOCIALLY RESPONSIBLE HEALTH CARE PROVIDERS

The health System and all hospitals performed very well on the Lown Hospitals Index for Social Responsibility, published by the nonprofit think tank, reviews 3,600 hospitals across the country and it is the only annual ranking to fully integrate racial inclusivity, community investment, and pay equity with traditional outcomes measures.

The System ranked at the top of all the categories nationwide:

- #2 for Health Equity - for strong performance across metrics of community benefit, pay equity, and inclusivity
- #3 for Pay Equity - the difference in compensation of hospital executives compared to health care workers with advanced degrees
- #5 for Community Benefit - financial assistance spending, service of Medicaid patients, and investing in community health needs

Individual hospitals also earned high rankings at the national and State level:

- Jacobi Hospital ranked #1 in the country for avoiding overuse of test and medical procedures that offer little or no clinical benefit
- Metropolitan Hospital ranked at the top as America's most inclusive hospital. The hospital is also #1 in NY State for Health Equity, Inclusivity, and Racial Inclusivity.

NYC HEALTH + HOSPITALS EXPANDS BEHAVIORAL HEALTH WORKFORCE WITH 50 PEER ACADEMY GRADUATES

NYC Health + Hospitals this month celebrated its Peer Academy graduation where more than 50 New Yorkers with lived experience with mental health or substance use conditions trained to become peer counselors. Peer services are a critical part of the behavioral health care that we provide to our patients. Peer counselors are able to connect with traditionally hard-to-reach patients by sharing their lived experience to help others cope and recover. They are living proof that recovery is possible, and they are highly adept at inspiring hope for those that they serve.

NYC HEALTH + HOSPITALS/CORRECTIONAL HEALTH SERVICES OPENS REENTRY SERVICE CENTER, PROVIDES FREE SMARTPHONES TO VULNERABLE NEW YORKERS LEAVING RIKERS

I joined the Mayor and Deputy Mayor Anne Williams-Isom, as the Correctional Health Services (CHS) team opened the first-ever re-entry service center on Rikers Island. The CHS center will serve as a resource hub for the hundreds of people who are released from Rikers each year, as well as members of the public who are visiting incarcerated loved ones and individuals who work with people in the City's custody. The center will be staffed by CHS reentry liaisons, who can help connect formerly incarcerated individuals to community-based health and social services and can provide naloxone training and kits and fentanyl test strips to all visitors. CHS teamed up with Premier Wireless Business Technology Solutions to provide free smartphones and wireless plans to clinically vulnerable New Yorkers immediately upon their release from jail. The smartphones and service plans will help former CHS patients who have significant medical and mental health needs to remain engaged in health care and to stay connected to loved ones as they return to the community.

NYC HEALTH + HOSPITALS EXPANDS STREET HEALTH OUTREACH & WELLNESS PROGRAM TO SERVE UNSHELTERED QUEENS RESIDENTS

NYC Health + Hospitals/Elmhurst launched a Street Health Outreach and Wellness (SHOW) mobile unit to provide comprehensive healthcare services and social supports for residents of the Queens community who are unsheltered or living on the street.

NYC HEALTH + HOSPITALS RECOGNIZED BY THE AMERICAN HEART ASSOCIATION FOR QUALITY CARE

All 11 public hospitals in the System were again recognized by the American Heart Association for their commitment to science-based practices and exceptional quality care in heart failure, heart attack, stroke, diabetes, and resuscitation.

NYC HEALTH + HOSPITALS/JACOBI TO EXPAND COMPREHENSIVE ADDICTION TREATMENT CENTER IN THE BRONX

NYC Health + Hospitals/Jacobi was awarded \$660,000 by Governor Kathy Hochul, the Office of Addiction Services and Supports (OASAS), and the New York State's Opioid Settlement Fund to expand the hospital's Comprehensive Addiction Treatment Center for New Yorkers experiencing substance use disorder.

NYC HEALTH + HOSPITALS/SOUTH BROOKLYN HEALTH RECEIVES PRESTIGIOUS NURSING AWARD

NYC Health + Hospitals/South Brooklyn Health Emergency Department (ED) nurses are the first in the System's history to receive the prestigious Emergency Nurses Association (ENA) Lantern Award. The award recognizes nursing excellence in areas of leadership, practice, education, advocacy and research.

NYC HEALTH + HOSPITALS/SOUTH BROOKLYN HEALTH MIDWIFERY PROGRAM REACHES MILESTONE WITH 20,000 BIRTHS

NYC Health + Hospitals/South Brooklyn Health reached a significant milestone with its 20,000th midwifery birth. The occasion marks the hospital's commitment to improving maternal and infant health outcomes in South Brooklyn and surrounding communities. In 2022, South Brooklyn Health had over 1,200 births, with midwives being responsible for nearly one-third of all births.

FINANCE UPDATE

The System closed June with approximately \$745 million - 30 days cash-on-hand. Through April, the System has a negative Net Budget Variance of \$200 million (-1.4%). Direct Patient Care Receipts (Inpatient and Outpatient) were \$3 million lower than the same period in FY-22 due to lower IP UPL Conversion in FY-23 at this point in the fiscal year. Patient care volume in FY-23 has returned to pre-COVID levels, and is 8% ahead of FY-20 in OP visits. Revenue base remains strong and resilient primarily driven by returning volume and higher average collectability rate over the base. Overall, the strategic Financial Initiatives remain on track generating over \$655 million through April of FY-23 with a line of sight that meets our FY-

23 target of \$675.6M. Areas of strongest net performance as of April include value-based payment initiatives and managed care initiatives (\$281 million), revenue cycle improvements (\$207 million), and growth & service line improvements (\$145 million).

EXTERNAL & COMMUNITY AFFAIRS UPDATE

Federal - Both the House and Senate continue to discuss Site Neutral policies that could negatively impact hospitals. Congress is also considering workforce investments and delaying the DSH cuts slated for later this year, but these cannot be paired with cuts to hospitals.

State - Few workforce-related bills have been signed into law, including a bill that modernizes the restricted clinical laboratory license bill to allow individuals holding the license to perform all molecular test, and a bill that expands the use of certain non-patient-specific standing orders that registered nurses can administer. Thanks to Assemblywoman Nily Rozic for securing \$1 million dollars in state funds to upgrade the Hugs Infant Security and Protection System at NYC Health + Hospitals/Queens.

City - The Mayor and City Council agreed on City's FY-24 budget on June 29th, which is approximately \$107B. As part of the budget, the System received \$80.6M in capital awards, which breaks down as follows: \$59.6M from City Council, \$3.2M from Borough President, \$2M in Mayoral Funding for Medical Equipment, and another \$15.8M from Borough President.

Community Affairs - the System hosted the annual Marjorie Matthews Awards Celebration to recognize members of the Community Advisory Boards and Auxiliaries for their service and important role in the communities. The System is coordinating with CMS to host 5 Health Insurance Symposiums in the fall.

CONTRACT DEVIATION

Since Dr. Katz's last update regarding asylum seeker contracting response, there have been ten additional contract actions:

- An extension of the food services contract with **LIC Com, LLC** (an NYC MBE) through December 11, 2023 for an amount not to exceed \$217,050,560.
- An extension of the food services contract with **Rethink Food NYC Inc.** through August 1, 2023 for an amount not to exceed \$138,337,296.
- An amendment of the medical triage services contract with **Rapid Reliable Testing NY, LLC** to expand the scope of work to include social and casework services and CDI and ASL translation services, as well as to extend the term of the contract through March, 26, 2024 for an amount not to exceed \$310,586,338.

- To house single adult male migrant asylum seekers, the rental of **320 West 31st Street** for one year from June 7, 2023 to June 6, 2024 for an amount not to exceed \$8,213,700.
- To house single adult male migrant asylum seekers, the rental of **37-11 35th Avenue, Astoria** for one year from May 17, 2023 to May 16, 2024 for an amount not to exceed \$1,015,155.
- A renewal of our existing lease of the **Stewart Hotel** to house the families of migrant asylum seekers for three years through June 6, 2026 but the agreement may be terminated on or after December 6, 2024 for a cost not to exceed \$158,070,221.
- To house the families of migrant asylum seekers, the rental of dorms owned by the **American Musical and Dramatic Arts School on 117 West 70th Street and 205/207 West 85th Street**, sometimes known as the Stratford, for three years from June 12, 2023 to May 31, 2026 but the agreement may be terminated on or after January 11, 2025 for an amount not to exceed \$109,010,880.
- To house the families of migrant asylum seekers, the rental of dorms located at **1760 Third Avenue** for 11 months from June 27, 2023 to April 30, 2024 for an amount not to exceed \$30,190,062.
- To house single adult male migrant asylum seekers, the rental of **47 Hall Street, Brooklyn** for a period of 18 months commencing upon the completion of certain construction at the property projected to occur September 15, 2023 which would put the expiration of the lease at approximately March 14, 2025 for an amount not to exceed approximately \$45,000,000. This project has the potential to include more floor area and to be as long as 7 years but the expansion or extension are required to be coupled with a takeover of the project from H+H by DCAS.
- To house the families of migrant asylum seekers, the rental of the **Crown Plaza at JFK Hotel**, for three years provided that the agreement may be terminated after one year for an amount not to exceed \$72,659,916.

Dr. Katz noted that all of the services being provided to the HERRC hotels are undergoing an RFP process to ensure all necessary due diligence and vendor diversity considerations are accounted for; and the proposed contract awards resulting from the RFPs will be coming to the Board beginning in September.

COMMITTEE AND SUBSIDIARY REPORTS

Ms. Wang noted that the Committee and Subsidiary reports were e-mailed for review and were submitted into the record. Ms. Wang welcomed questions or comments regarding the reports.

OLD BUSINESS/NEW BUSINESS

ADJOURNMENT

Hearing no old business or new business to bring before the New York City Health and Hospitals Corporation Board of Directors, the meeting was adjourned at 4:26 P.M.



Colicia Hercules
Corporate Secretary

COMMITTEE REPORTS

Finance Committee Meeting - July 10, 2023

As Reported By: Freda Wang

Committee Members Present: Mitchell Katz, MD, Freda Wang, Sally Hernandez-Piñero, Jackie Rowe Adams representing José Pagán in a voting capacity

NYC Health + Hospitals Employees in Attendance:

Michline Farag, Salema Tyler, Marji Karlin, Linda DeHart, John Ulberg, James Cassidy, Megan Meagher, Allison Hartmann, Baily Jones, Mariel McLeod, Dr. Theodore Long, Karl Anderson, Rafelina Hernandez, Colicia Hercules

CALL TO ORDER

Ms. Wang called the meeting of the New York City Health + Hospitals Board of Directors Finance Committee Meeting to order at 11:05 a.m.

Ms. Wang noted for the record that according to the **By-Laws - Section 14, Committee Attendance**, if any member of a standing or special committee of the Board will not be present at a scheduled committee meeting, the member may ask the Chair of the Board to request that another Board member, not a member of that committee, attend the scheduled meeting and be counted as a member for purposes of quorum and voting:

For the record, José Pagán delegated Jackie Rowe Adams as a member to be counted for the purposes of quorum and voting on his behalf. The request was approved.

Ms. Wang called for a motion to approve the May 8, 2023 minutes of the Finance Committee meeting.

Upon motion made and duly seconded the minutes of the Finance Committee meeting held on May 8, 2023 were adopted.

ACTION ITEM: Ambulatory Care Contact Center Services

Mr. Karl Anderson - Senior Director - Contact Center Services read the resolution into the record and proceeded with the presented:

Authorizing New York City Health and Hospitals Corporation (the "System") to execute an agreement with OptumInsight, Inc. ("Optum") for contact center services for an initial term of three years with two one-year options solely exercisable by the System in an amount not to exceed \$145,593,595 for the entire contract term of five years.

Mr. Karl Anderson began by providing the background and current state of H+H Ambulatory Care Contact Center Services. It is common practice for health systems to fully outsource, have a combination of outsource and internal staff or use internal staff only for a centralized patient contact center. The indicating factor that tends to dictate the most efficient and cost-

effective approach is call volume. With the System call volume increasing to 2.6M calls in 2022, and an expected annual year-over-year growth as well as more practices requesting appointment scheduling by the contact center, having a cost effective and operationally efficient vendor partner to handle the overflow of calls is critical to serving the System's patients, practices and facilities. In 2015, NYC Health and Hospitals activated a GPO agreement with Change Healthcare. The contract terms, fee structure, historical as well as projected annual costs were presented.

The scope of the project is to secure a partnership with a vendor that is experienced and knowledgeable with a successful footprint in healthcare. A vendor that utilize industry leading technologies, has a robust operational support system, a cost-effective fee structure and a proven track record. NYC Health and Hospitals is seeking to add more structure and rigor regarding the vendor's operational performance, meeting performance and quality targets, incorporate technologies that improve patient experience and a fee structure that is more cost-effective than the previous contract.

An overview of the RFP development and goals was presented by Mr. Anderson. The scope was developed based on use cases across the System and using current internal, vendor operational performance and current industry standards. The key scope issues and desired outcome of RFP were noted. Vendors typically performing in this space are Optum, Change Health, TTEC and Teleperformance. There is no anticipated labor impact or role change to NYC Health and Hospital internal contact center staff as a result of this RFP. The System anticipates that additional EITS staff support may be needed should we transition to a new vendor in 2023. Over the course of the next one-two years, the goal is to lessen the dependence on the vendor partner and use the System technologies for both our internal and outsourced vendor staff. Several areas of patient experience, security controls and technological improvement goals were presented.

Mr. Anderson provided an overview of procurement process and RFP Criteria. The minimum criteria to provide services for Contact Center Services were noted. All vendors considered were closely evaluated and have strong experience with similarly large health care systems. OptumInsight, Inc. was the highest rated proposer.

Mr. Anderson presented an overview of OptumInsight("Optum") background. Optum has been in business for over 30 years with a focus in technology and staffing. Serving over 127 Million consumers across the country and an average of 300 Million support calls annually in healthcare. Some of the clients they serve were noted. Optum had a recent two-year partnership with NYC Health and Hospitals providing services and staff for the NYC Test and Trace Contact Center. With the exception of the surge events, the Optum team consistently met the monthly targeted Trace performance metrics of 95% contact rate of positive cases and close contacts within 24 hours with a 90% plus rate of reaching intended party. Optum consistently met the call quality metrics ensuring a positive experience with the 2 plus million New Yorkers the team engaged with. Implementation with Optum carries less risk

than another vendor. Their acquisition of H+H incumbent vendor, Change Healthcare, allows for the retention of tenured, high performing staff and the historical knowledge and familiarity with our technological infrastructure and business lines. Additional EITS resources for Optum migration/integration will not be needed from the system.

Optum will enhance services provided by current staff by bringing additional expertise, structure and rigor to training, quality, workforce management and operational oversight to drive a higher level of overall performance. The contact center will be upgraded to a more advanced, omnichannel technological platform as well as offer Customer Satisfaction (CSAT) survey and Customer Effort Score (CES) immediately following the patient's interaction with the contact center. Artificial Intelligence will be incorporated in services during life of contract, reducing agent call volume and handle time. Optum has a strong partnership with EPIC giving us the ability to explore additional options/integration to improve the patient experience and additional cost saving measures. Optum will commit to a monthly penalty percentage, to be determined during contract negotiation, for failure to meet the contact center's monthly Key Performance Indicators (KPIs). Examples of some of the KPIs were presented. Optum will deploy the use of language interpretation services for the System's contact center team in addition to setting bilingual hiring and staffing targets. Optum's cost structure will be based on a combination of FTE rates and per-minute rates of proposed staff and AI Call deflection.

In terms of MWBE analysis, OptumInsight, Inc. met the MWBE requirement with subcontracting services for recruiting and staffing, information system/automated messaging and implementation with a total vendor diversity component percentage of 30%. A summary of the MWBE Utilization plan and subcontractor scope of work was presented. As a result, the current awarded vendor MWBE utilization plan goal of 36%.

The Office of Ambulatory Care and Population Health is seeking approval to enter into contract with OptumInsight, Inc. to provide Contact Center Services with an anticipated start date of October 1st, 2023.

Dr. Katz commented on his full support on this contract and the value of having a contact center. He inquired about plans to assess the progress in transitioning those functions internally.

Mr. Anderson responded that over the past couple of years, the focus has been on building and updating a more robust technological support system, training team, quality team and supporting staff scripting to use internally.

Dr. Katz suggested to perform a long-term sketch of where we want to be in two to three years to better envision the progress we will make. Also, with the use of technology.

Ms. Wang asked if we envision that it is done with our current staff?

Dr. Katz added that it is his own belief that most of the functions are done by NYC Health + Hospitals staff during the work hours and the rest of the calls can be done by the call center during the off hours. With technology, some of the things are done in the web although not everyone does it. Overtime, the goal is for patient to move to technology and self-serve. Twenty percent of the calls are related to appointments and hours of operation. The use of technology would be helpful for these type of calls with automated/drop down menus.

Ms. Hernandez-Piñero shared questions and concerns regarding the inhouse call handling. It would be helpful to have a review of how the call center has changed, how it operates now and where the gaps are. Also, the key performance indicators for internal staff to ensure the System has same level of efficiency as we do with an external operator. Ms. Hernandez-Piñero asked about the metrics on answered/unanswered calls during the day and after-hours.

Mr. Anderson responded that the internal staff answers the calls first and then it transfers to an operator after that. After-hours and on the weekends, the call centers are answering the calls and will continue to be part of this. Prior to 9am, after 5pm and on the weekends Change Health, now acquired by Optum, has been answering the calls and will continue to be part of this. The System will retain the tribal knowledge, the knowledge of our operating structure. Optum will take a much heavier hand and add some structure and more technological support that has not been there previously.

Dr. Katz added that called left unanswered by local staff may be for a variety of reasons. The calls then need to roll to someone or it will not get answered.

Hernandez-Piñero asked if there is a breakdown of the types of calls that come in. - Ms. Rowe-Adams added, it is helpful to know and what percentage of those come in and how quickly are they answered. How much of these are answer by staff versus external staff? The more data we have, the better we will be able to assess the efficiency of the service.

Mr. Anderson responded that over the last year or two has worked to improve the level of data available. These metrics are discussed with vendor to discuss these during weekly meetings. One feature with Optum is the post-call survey with the patient to ascertain patient satisfaction.

Hernandez-Piñero added that she is mainly concerned about our own goals and staff. She is curious about learning more about the data.

Dr. Katz added that this conversation can be scheduled further at an MPA meeting.

Hernandez-Piñero added a suggestion of what their pitfalls were and update on how they are doing would be helpful for that meeting.

Ms. Wang asked about Optum's technology capabilities, KPIs and the survey process.

Mr. Anderson responded that the level of detail is not yet finalized.

Ms. Wang added if we would be able to track the data using that contract for our internal staff at the end of each call. Mr. Anderson added that we can ask to see if that is available.

After questions, Mr. Anderson responded that Optum was not the lowest cost but scored the highest in every other category. They were the most secure which weighted very heavily for the System as was the retention of tribal knowledge from the previous vendor and having the robust structure.

Mr. Anderson explained additional costs for implementation. Transitioning to a new vendor requires technology changes and additional resources. With Optum retaining a lot of the same technological resources, there will be some changes, but the net internal resources needed for EITS will be much less compared to other vendors.

Ms. Wang asked if there are anticipated contract cost reductions with the enhanced AI and technology capabilities.

Mr. Anderson responded any cost that can deflect using AI will significantly reduce the permanent cost because that AI cost is cheaper per minute and the calls will be shorter. Any exploration we can do around self-service options, will help reduce cost.

Following the discussion and upon motion made and duly seconded, the Committee unanimously approved the resolution for consideration by the Board.

FINANCIAL UPDATE

Mr. Ulberg opened the presentation with the FY-23 YTD highlights. He conveyed that May closed with \$679M (27 days cash-on-hand). The budget underperformed at 1.4% and closed April with a negative Net Budget Variance of \$200M.

Mr. Ulberg continued, direct patient care receipts came in \$3M lower than the same period in FY-22 largely due to lower IP UPL conversion in FY-23. Patient care volume in FY-23 has returned to pre-COVID levels, and is 8% ahead of FY-20 in OP visits. Revenue base remains strong and resilient primarily driven by returning volume and higher average collectability rate over the base. Overall, our strategic financial initiatives remain on track, generating over \$655M thru April of FY-23 with a line of sight that meets the FY-23 target of \$675.6M. Several areas of strong net performance were noted.

Mr. Ulberg presented the cash projections for FY-23 and FY-24. The System closed June with approximately \$700 million (28 days cash-on-hand) and expects to close July with approximately \$650 million (26 days cash-on-hand).

Ms. Tyler presented the financial performance highlights for FY-23 thru April Net Budget Variance. She noted that April ended with a net budget variance of -\$200.2M (-1.4%). Receipts exceeded budget by \$350M Primarily driven by Patient Care Risk Revenue. Risk is higher due to improved PMPM and other PY reconciliations. Disbursement exceed budget by \$550M, which includes expenses associated with Temp coverage costs, and OTPS discretionary spend in medical/surgical supplies, and pharmaceuticals.

Ms. Tyler continued providing FY-23 thru April performance drivers updates. Cash receipts are 5% ahead of budget. The overage can be attributed to Risk revenue exceeding target due to higher than anticipated PMPM. FY-23 thru April, cash disbursements are over budget by 8% primarily resulting from Temp spending and Agency costs exceeding target as well as other discretionary spending.

The revenue performance for FY-23 thru April was presented by Ms. Tyler. FY-23 direct patient care revenue excluding T2 Testing and T2 Vaccines is \$3.0M lower than FY-22 actuals. Patient revenue improvement year-over-year can be attributed to IP UPL Conversion coming in \$44M lower than FY-22. This decrease is offset by higher OP revenue.

Ms. Karlin presented an update on Medicaid Recertification. As recertification has started, the plans have now been activated, and their success will have significant budget improvement implications for overall performance. NYC Health + Hospitals is implementing many outreach strategies to connect with patients in these efforts.

A walkthrough on Medicaid Recertification process tracker and how NYC Health + Hospitals monitors the efficacies of all the strategies that have now been implemented was presented by Ms. Hartmann. NYC Health + Hospitals and MetroPlusHealth developed trackers for initiative monitoring and are closely watching early results. MetroPlusHealth recertification rate for June cohort currently greater than 62% as we continue to make progress in the future months.

NYC Health + Hospitals Financial Plan assumes that MetroPlusHealth NYC Health + Hospitals Attributed membership in impacted Line of businesses declines by 24% by the end of FY-24.

In response to questions, Ms. Hartmann confirmed that the System is trying to maintain consistent outreach regardless of the plan.

Recertification is an ongoing process and it faulted during the pandemic.

In terms of lost dollars, Ms. Karlin agreed with Dr. Katz that the biggest risk and significant financial implications for MetroPlus, Healthfirst, NYC Health + Hospitals and the State, are people who do not recertify because they do not need the services.

Hernandez-Piñero asked regarding the financial performance, the unbudgeted Medicare and Medicaid Appeals.

Ms. Tyler responded that the System does not budget for Appeals. The System aligns with what is in the financial plan.

Hernandez-Piñero inquired regarding the \$325M in Temp staffing and the \$195M discretionary spend and pharmaceutical spend. Ms. Tyler responded the biggest category in discretionary spend is pharmaceuticals followed by med surg supplies. Pharmaceutical costs are largely driven by inflation and increased volume.

In response to Hernandez-Piñero's questions, Ms. Tyler explained that we assume a loss in FY-24 NYC Health + Hospitals budget for MetroPlus of \$100M loss and \$8M for Healthfirst.

In response to Ms. Wang's questions regarding recertification, Mr. Ulberg confirmed that 62% is the starting point. The state will try to do whatever they can to try promote. Ms. Tyler added that the full impact of the loss will not be seen as there is a 6-month lag. In FY-24 the System will be receiving calendar year 23 and will have solid revenue for that.

Ms. Meagher provided a walkthrough the VBP priorities for FY-24. There are three value-based payment priorities for FY-24. Ensuring members grow and retain VBP membership by prioritizing recertification of Medicaid coverage and working to optimize Managed Care enrollment of primary care physicians to pair members with providers with best schedule access. Growing premium revenue base in VBP contracts by expanding outreach to disengaged patients in our value-based contracts to actively close gaps in care, Collaborate with Revenue Cycle Services to assess accurate diagnosis capture on polychronic attributed members and members with social needs and enhance scheduling to improve access and patient satisfaction (CAHPS) scores. Lastly, improving quality and efficiency of care delivery by engaging clinical teams to scale best care practices for patients with asthma and congestive heart failure, assess quantitative and qualitative impact of ongoing NYC Health + Hospitals care management programs on members of the VBP contracts and engage post-acute care teams in VBP program opportunities.

Ms. Meagher continued by providing an update on the VBP Quality Program performance. For Healthfirst average facility improvement by measure for CY-22 versus CY-21, all but 1 measure improved over CY-21. NYC H+H Facilities account for 50% or more of the top 10 facilities in the Healthfirst network for both Medicaid and Medicare programs. NYC Health + Hospitals incentive earnings increased by 93% in CY-22.

The System is monitoring the positives, negatives and unknown actions. Some of the positives include awaiting implementation of State Budget actions that should increase Essential Plan premiums and the restoration of quality pool dollars to fund VBP programs under the Medicaid program. Awaiting approval of the State Medicaid 1115 Waiver which looks to better fund and coordinate social service supports critical for adequately caring for many Medicaid beneficiaries. In the negative financial pressures, the biggest Medicare VBP contract is with Healthfirst and for 2024 premium revenues will decline due to their loss in Medicare Stars. In 2024 Medicare will be

upgrading its risk adjustment methodology to better leverage ICD-10 coding specificity; the new model will eliminate over 2,000 diagnosis codes that disproportionately impact vascular disease, major depression and angina conditions. These changes are expected to reduce the per member premium amounts that NYC Health + Hospitals receives in its Medicare VBP contracts - predominantly Healthfirst. It is still unknown how the NYS Medicaid program is faring under reinstatement of recertification, and enrollment counts. The unknown is really how the Medicaid recertification will fare this fiscal year and hopefully we are outperforming our target and retaining some more premium revenue.

that the impact of the loss of star for Healthfirst was \$200M and tenths of millions of dollars for NYC Health + Hospitals.

Mr. Ulberg added that the System went up half a star, while Healthfirst lost a star. Healthfirst is very committed to getting the 4-star status back.

Ms. Wang inquired about the ICD-10 coding changes and its effect on the System.

Ms. Meagher responded that it is implemented for CY-24. The focus is on how are being as accurate as possible in the diagnosis, how encounters are documented, to enhance risk premium.

NYC Health and Hospitals Doctors are fully salaried, where people are not earning based on what they are coding.

Ms. Wang asked but this is in a value-based system.

Dr. Katz responded that the idea of a true value-based payment is that assumption about what would be a good cost based on the underlying characteristics, everyone cannot be the same cost. Value based still requires fairly sophisticated coding and that is why the System has been pushing that the social determinants needs to be part of coding because whether or not somebody is homeless is going to greatly determine a higher cost in caring for them. Traditionally, it's always been ICD-10 codes, which are all diagnostic codes and all diseased based codes as opposed with social state codes.

Ms. Hernandez-Piñero asked about the coding contracts.

Ms. Karlin responded the coding are on the first round of reviews, data is not yet available. There will be reporting over the actual reviews.

Mr. Cassidy presented the FY-24 Financial Plan. The system's latest cash financial plan projects a loss of \$184M for FY-24. This projected loss is largely due to continued need to temporary staffing and affiliate costs required to continue operating our facilities, above our previous anticipated baseline, even with an anticipated glide path. The system is also facing challenges due to inflation and a rise in pharmaceutical costs. The plan reflects the start of federal DSH cuts as of October 1, 2023. However, the system along with others across the industry, continues to

advocate for delay or elimination of these harmful cuts. As of FY-23, the system hopes to eliminate this gap during the course of the fiscal year through a variety of additional revenues, including via the implementation of positive actions included in the State budget, improved risk pool collections, and the execution of additional Strategic Initiatives.

Ms. Wang asked about the FY-24 DSH cut amount.

Mr. Cassidy responded that FY-24 Federal DSH cut amount \$8 Billion dollars and an estimated \$600 Million dollars to the System.

Dr. Katz added Majority Schumer said it will not happen, he would repel. He said he would succeed in getting it delayed.

Mr. Cassidy continued that the assumptions are in the plan.

Dr. Katz commented that ultimately, the System will be balanced. There will be necessary adjustments to ensure the System is will not be in deficit.

Mr. Ulberg added that facilities were provided targets to close the Gap and encourage revenue growth opportunities.

Rightsizing the FY-24 Budget and Closing the Spending Gap was presented by Mr. Ulberg. Several areas of opportunities to improve quality and financial performance in value-based care were noted. The System Continues to work on setting targets to reduce dependencies on outside temp and locums' staff over the next 12-18 months. Finding efficiencies and approaches to better maximize utilization of resources including "systemness" approach to care and services. Review prioritization of capital needs, including potential impact on operating budget performance. Implementing a multi-year strategy to better manage increased pharmacy and supply costs. Position the System to leverage the 1115 Waiver and implement new models of care including Special Pops, BH COE and Maternal Health. Lastly, implement Medicaid UPL strategy and find alternative uses of DSH funding.

Dr. Katz his commitment in the success of public service healthcare and ensuring that NYC Health and Hospitals will not delivery of great quality services.

Mr. Ulberg added that the goal throughout FY-24 is to expand staffing analysis where we have more ratios for varying different types of employees. Dr. Katz has always been very clear that there will not be reductions to the resources needed to provide good quality of care.

Ms. Hernandez-Piñero asked regarding the affiliate increases.

Mr. Ulberg responded that is one of the fastest growing line items. There is an increase in the number of locums, the cost of locums and big increases in sessional usage. The Facilities will develop their budget targets using data. This workforce plan allows for a look at the entire affiliate budget needs at the facility. It allows for a discussion with the affiliate about appropriate mix of providers and accountability.

Dr. Katz explained the problem is that as so many physicians have left the workforce, there have been a lot of inflationary pressures and increase use of locums or sessional. Salary is a challenge in attracting physicians to the System. Once true shortages are in place, it will be challenging to avoid the inflationary pressures.

Ms. Jones commenced a presentation providing the financial update on Test and Treat. T2 has committed approximately \$10.1M in expenses for Q4 in FY-23. OMB has provided NYC Health + Hospitals with sufficient revenue through the T2 MOU to cover expenses to date. All T2 programming ended on May 11th with the end of the COVID Federal Public Health Emergency. COVID-19 testing, treatment, and vaccination continues to be available at NYC Health + Hospitals locations.

Ms. Jones continued the presentation providing a Financial update on HERRC. On October 7, 2022 Mayor Eric Adams announced a State of Emergency based on the arrival of thousands of individuals and families seeking asylum in NYC. Mayor Adams issued an Emergency Executive Order 224 which ordered the opening of Humanitarian Emergency Relief and Recovery Centers (HERRC) and tasked H+H with oversight. The services provided by the HERRC sites were noted. There are currently 12 H+H HERRC sites open. OMB has provided H+H with sufficient revenue through the HERRC MOU with the Mayor's Office to cover expenses to date. H+H HERRC Executive Budget funding summary for FY-23 through FY-25 were presented.

Mr. Wang thanked the team for the excellent report.

Ms. Wang asked Dr. Long regarding the 12 HERRC sites that are now open.

Dr. Long responded that the System developed the models for all the HERRC sites. The HERRC sites offers the types of services that are unique to asylum seekers. Different types of models were developed based the needs of families with children, or single adults, etc. HPD whom we work very closely with will use our model and have offered to expand the overall city-wide capacity.

Following questions from the Board Dr. Long explained the hotel is divided into two different parts. The hotel itself has 1,000 beds and 90% of them are exclusively families with children. The other part of the hotel, has the arrival center and there is a demarcation.

For families with children, the child must be under 18.

There is a designated NYC Health + Hospitals person charge of that site. There are vendors that solve different front-staffing needs such as security, food, and bilingual. 24/7 Medical care is provided as they arrive at all hours of the day and they get screened. These are all new staff hired for HERRC.

Ms. Wang asked about NYC Health + Hospitals budget on medical care for the HERRC.

Ms. Jones responded that all expenses are covered by the MOU.

Ms. Rowe Adams asked if all asylum seekers have the same medical insurance?

Dr. Long explained that asylum seekers crossing the border into our country all receive documentation putting them predominantly on parole status that makes them eligible in NY for plans like Essential Plan based on their status that defines their eligibility.

ADJOURNMENT

There being no further business before this committee, the meeting adjourned at 12:51 PM.

Medical and Professional Affairs Committee - July 10th, 2023
As Reported by Dr. Mitchell Katz on behalf of Dr. Vincent Calamia
Committee Members Present- Dr. Mitchell Katz, Sally Hernandez-Piñero, Jackie Rowe-Adams in a voting capacity for José Pagán.

Mitchell Katz, MD, President of the Corporation, called the meeting to order at 10:10AM.

Dr. Katz noted for the record that according to the **By-Laws - Section 14, Committee Attendance**, if any member of a standing or special committee of the Board will not be present at a scheduled committee meeting, the member may ask the Chair of the Board to request that another Board member, not a member of that committee, attend the scheduled meeting and be counted as a member for purposes of quorum and voting:

José Pagán has requested that Jackie Rowe-Adams be counted for the purposes of quorum and voting on his behalf. The request was approved.

On motion made and seconded, the Committee adopted the minutes of the May 8, 2023 Medical and Professional Affairs committee.

ACTION ITEM:

David Silvestri, MD, Senior Director of Emergency Management presented the resolution to the committee -

Authorizing the New York City Health and Hospitals Corporation (the "System") to execute an agreement with Rapid Reliable Testing, LLC d/b/a DocGo, Inc. ("DocGo") for time-sensitive and short-term clinical and support staffing at any of a variety of Emergency Response Alternative Care Sites ("ERACS") during a period of an emergency response as directed by the System's President with appropriate notification to the Board. The initial term shall be three years with two one-year options to renew, solely exercisable by the System. The contract shall not have a pre-established not-to-exceed amount.

NYC Health + Hospitals is required by City Hall to provide clinical staffing for Special Medical Needs Shelters (SMNS; a clinical evacuation shelter) during a coastal storm. SMNS requirements are 7 sites, 100-150 shelterees, and diverse staff (MD, RN, HHA). Population lives independently, referred to SMNS at NYCEM operated Hurricane Shelters due to need for sub-acute medical assistance.

Transportation is coordinated by NYCEM. NYC Health + Hospitals may similarly be called to support clinical staffing needs at Alternate Care Sites during other unforeseen short-term emergencies. Historically, we had challenges fulfilling SMNS staffing requirements with internal staffing resources (Gotham, Ambulatory acute staff). Currently, there is no contract to fulfill clinical staffing needs at such sites if this plan was to be activated.

This contract will only be activated in the event of an emergency and the President of the Corporation activates it following a request of the City of New York or/and a declaration by the City, State, or Federal government. The Board would be notified. As for funding, there are two lines of funding: one through the City' dedicated funding "On Call Emergency Contract" (OCEC), for special medical needs shelters, there are 36 million dollars allocated to that program for the System, through FEMA Reimbursement.

The cost structure is pre-established and not subject to market fluctuations. The cost structure was based on the title of the staff, the length of the activation and the time to activation. The vendor is responsible for credentialing. There are no anticipated operating costs if the contract is activated.

The minimum criteria for the RFP requires 5 years of experience with similar sized organizations, with annual revenue in excess of 5 million dollars, and the ability to maintain compliance with FEMA guidelines and regulations. The substantive criteria evaluation was 25% for relevant experience, plan for timely deployment, 20% for diversity of titles offered, the ability to meet staffing needs, 20% for cost and 10% MWBE.

Overview of Procurement: Following CRC approval, the RFP Posted on City Record, and sent directly to 13 vendors of which 10 proposals were received. Following the Evaluation Committee scoring, the top three firms were shortlisted and Rapid Reliable Testing, LLC dba DocGo was the highest rated proposer. DoGgo proposed to subcontract 30% of their staffing to MWBE firms listed. They have meant their MWBE requirements with previous contract, and the current ones they have with the System. DocGo has 2 contracts with the System and have performed satisfactorily. Contract start date will be August 1, 2023.

Question raised by a Board member: Have we ever provided staffing for a special medical needs shelter? Dr. Silvestri responded; the special medical shelter needs program came about from hurricane Irene, in hurricane Sandy we did staff some of these but we use this as an ambulatory care staffing and there were a lot of operational challenges. If we would end of having to evacuate one of our hospitals, having a good amount of our staff move into these shelters would create challenges, not only for the shelters but also for the evacuation efforts.

Question raised by a Board member: How many staff members do you have? Inga Furuness responded; for the special need's shelters, one caveat, is it depends on how long they are open. We don't' really know in NYC coastal storm plan, how long the shelters will be open. There is a staff ratio, we want 24-hour coverage, there is 7 sites, there is a provider designated to each site, we are considering a provider be on call overnight and physically present during the day. It is difficult to specify the number as, we will not know how long we are

going to be activated and we will not know how many patients and what their conditions will be in the shelter.

The resolutions were duly seconded, discussed and unanimously adopted by the Committee with conditions for consideration by the full board.

INFORMATION ITEM:

Machelle Allen MD, System Chief Medical Officer/Sr. Vice President of Medical and Professionals Affairs, presented to the committee the statement on Anti-Racism and non-discrimination.

As the System continues to focus on health equity, and continues to address bias in clinical care, the following statement on Anti-Racism and non-discrimination has been developed for NYC Health + Hospitals.

Structural racism is an increasingly recognized national problem. NYC Health + Hospitals acknowledges that structural racism is a major barrier to equitable health care, which is a NYC Health + Hospitals core value. In addition, NYC Health + Hospitals recognizes that structural racism—the way in which society fosters racial discrimination through systems of housing, education, employment, criminal justice, and other institutionalized practices has been a significant factor in creating health care disparities seen in the United States, as evidenced among indigenous peoples and populations of color. These disparities include higher death rates, shorter life spans, and poorer outcomes in the face of chronic diseases.

Therefore, NYC Health + Hospitals reaffirms its commitment to identifying opportunities for reducing racism's impact in clinical care, education and training, professionalism, staff development, staff engagement and in provider and staff recruitment. Additionally, NYC Health + Hospitals commits to actively promote social justice, challenge discrimination, and continuously monitor diversity and inclusion efforts.

NYC Health + Hospitals aims to contribute to a healthcare landscape and workforce environment free of discrimination or bias on the basis of race, color, national origin, alienage or citizenship status; religion/creed; gender identity, disability; age, pregnancy; criminal record, marital status; genetic information; sexual orientation; veteran/military status; status as a victim or witness of domestic violence; weight, height, and/or any other protected class covered by federal, state and/or local antidiscrimination laws. Join us as we continue on a path towards our destination of equity.

Board members express how they appreciated the statement. Dr. Allen thanked the Board.

CHIEF MEDICAL OFFICER REPORT

Machelle Allen MD, System Chief Medical Officer/Sr. Vice President of Medical and Professionals Affairs, and Donnie Bell, MD Deputy Chief Medical Officer presented to the committee.

Dr. Bell discussed current initiatives: TeleStroke, Vizal and systems TJC Stroke Certification. In November of 2022, joint commission was at Queens Hospital

conducting a survey, and noticed 2 levels of care for a stroke patient. Particularly on nights and weekends, patients were cared for by ED physicians and neurologists over the phone. While no formal citations were issued, it was noted as an opportunity for improvement. The other challenge at Queens hospital was with recruitment and retention of neurologists.

The telestroke program at Queens is composed of 9 credentialed neurologists who have sub-specialty training in vascular stroke neurology and represent all of our academic partners. It is a 2-way audio visual connection between the patient and facilitator and a neurologist who is functioning as a tele-neurologist. Key performance indicators: In the first quarter, over 200 stroke patients have been seen as compared to 170, in the entirety of the previous year, 55 of those patients were seen by our tele neurologist. As a result, tPA has been administered or recommended on 3 occasions and 6 were transferred to sister hospitals for higher level of care.

VizAI: one of the challenges in the stroke community is neuro radiology expertise. Not all of our hospitals have 24/7 access to neuro radiologists to be able to supplement with AI. Another important point is the ability to look at imaging globally. Some of our providers, particularly the sub specialists are not in-house. The ability for them to review imaging, make decisions and mobilize teams for stroke care is important. It is a communication tool that enables interdisciplinary communication across different components of a stroke team as well as system for transferring patients to high levels of care.

Dr. Bell emphasized that the imaging platform identifies the blockage and processes the advanced imaging without any intervention from the team or radiologist. This happens in the background, which triggers everyone on the team take a closer look at this patient. Dr. Katz expressed the importance of virtual care in the delivery of advanced and highly specialized care at every moment. South Brooklyn Health has published on using this API platform to assist in the interpretations.

Joint Commission Stroke Certification: in 2018 the state decided to transition their stroke certification program from a state-based to largely administered by third party personnel creditors such as the Joint Commission. At that time, only Lincoln, Kings County, and Elmhurst had Joint Commission certification, as primary stroke centers. Kings County, Bellevue, and Lincoln were also performing some advanced stroke interventions. In 2019, the proposed future state was to have a level 1 trauma center capable stroke centers, also that our community hospitals would be primary stroke centers.

Current state in 2023, almost all of our centers are Joint Commission certified at 3 different level, primary centers for most of our community hospitals, thrombectomy centers for most of our level 1 trauma centers, and then Bellevue as a comprehensive stroke center given the complexity of stroke patients that they are able to take care of. We also have VizAI and telestroke listed.

Future Plans: there will be a roll out of telestroke at additional primary stroke centers at Health + Hospitals by QA4 2023. There are some additional modules in ViZAI that we would like to explore, such as brain hemorrhage and aneurysms to figure out if they will further help take care of patients in a timely manner. There is one additional facility seeking stroke certification, that should be completed by Q1 2024.

The Board commended Dr. Bell on the work that has been done.

SYSTEM CHIEF NURSE EXECUTIVE REPORT

Dr. Natalia Cineas, System Chief Nurse Executive submitted a written report for the record.

METROPLUS HEALTH PLAN, INC.

Sanjiv Shah, MD, Chief Medical Officer, MetroPlus Health Plan reported to the committee, a full report is included in the materials, with the following highlights:

MetroPlus HIV SNP was the highest ranked by New York State data for 2021. This was a testament to the work of the HIV SNP, also the strong collaboration with HIV primary care providers. Many of them are at NYC Health + Hospitals. We achieved the highest viral load suppression rate amongst the 3 SNPs. As the population ages, over 50% of the people living with HIV over the age of 50. In the second quarter of 2023, MetroPlus Health Housing Task Force, housed its 500th member, and that is because of robust a partnership with many CBO's, individuals and coalitions that focus on housing, including working strongly with New York City Health + Hospitals on its housing initiatives.

The public health emergency ended in April of 2023 and the State determined along with many other states that it would require individuals enrolled in Medicaid, which includes the HIV special needs members, individuals enrolled in the health and recovery plan, those individuals with serious mental illness or substance abuse disorders, as well as individuals in the central plan and child health plan to redetermine or recertify their status based on income levels and other requirements.

The first month individuals had to recertify based on their due date was the month of June of 2023. There was close collaboration with community providers, community-based organizations to outreach the 45,000 members who needed to recertify in the month of June. That process began in the middle of May when the recertification window opened for these individuals. There are many outreach efforts via telephone, email, texts help them individuals through the process.

The customer experienced team CSX leadership is continuing to work with community providers, Health + Hospitals facilities, and managed care teams to ensure that the do not lose their medical coverage. There is an innovative tool, which allows individual to book appointments at their convenience with the recertification team to help them complete the paperwork.

The overall recertification rate numbers for June were about 45,000 to 46,000 members. That number may vary depending on the data available from New York State and the Human resources Administration. Approximately 29,000 individuals are close to 65% actually recertified, which then leaves 15,000 individuals, the 35% who have not recertified. Of the 15,000 we know that 8,000 are on a termination file produced by NYS and HRA. There are 7000 who are not on that file and whose status remains unknown. We are working with NYS and HRA to ensure that those individual, are covered for the month of June.

The health and recovery plan, which is individuals that have serious mental illness and HIV SNP has a much lower rate for recertification. The reason is that these individuals have disproportionately had SSI coverage and their recertification process is different as long as they reup their SSI. The

conciierge program has been expanded at all acute sites and many of the Gotham sites. Harlem will be active in August. The major mechanism is our telephonic outreach, the connection with providers to ensure they are identifying individuals who are coming for recertification and contacting MetroPlus. The goal is to place MetroPlus in community providers offices.

The Board commended Dr Shah and his team on an extraordinary effort between each and H+H and MetroPlus to get those 60,000 members recertified. It was a challenge dealing with the State and HRA, it created additional time needed to get the approval before anything could be done, and yet we are 65%, compared to other States. Dr. Shah informed the Board, the State was pleased with the progress the plan has made. It is consistent with the work of other plans and they acknowledge the issue of the unknowns and the notification process to the System.

There being no further business, the meeting was adjourned 10:59AM.

Mitchell H. Katz, MD
NYC HEALTH + HOSPITALS - PRESIDENT AND CHIEF EXECUTIVE OFFICER
REPORT TO THE BOARD OF DIRECTORS
July 27, 2023

RESPONDING TO THE HUMANITARIAN CRISIS - SERVICES FOR ASYLUM SEEKERS

NYC Health + Hospitals remains steadfast in its commitment to helping asylum seekers find a better life, and our Humanitarian Emergency Response and Relief Centers (HERRCs) are a cornerstone of the City's response to this unprecedented crisis. To meet the demands of housing the burgeoning asylum seeker shelter population, this month our health System assumed administration of another humanitarian center at the Crown Plaza Hotel near JFK Airport. In addition, we will soon open a HERRC tent facility outside the grounds of the Creedmoor Psychiatric Center in Queens with room to accommodate 750 to 1,000 adults.

To date, humanitarian centers have provided a place to stay and compassionate, comprehensive support for 16,000 people currently in our care. These facilities provide asylum seekers and their children a one-stop concentration of services, including medical care, nutrition, language access, mental health support, school enrollment, social programs, technology, and reunification resources. HERRC staff have administered over 26,000 vaccinations to asylum seekers and enrolled over 13,000 people in health insurance.

Our 13 humanitarian centers are a model of success and a pillar of the city's network of over 192 shelters and respite sites. The City's shelter system currently has over 56,000 people in its care, and has provided services to over 93,000 asylum seekers since last spring.

NYC HEALTH + HOSPITALS STATEMENT ON ANTI-RACISM AND NONDISCRIMINATION

Structural racism is an increasingly recognized national problem. NYC Health + Hospitals acknowledges that structural racism is a major barrier to equitable health care, which is an NYC Health + Hospitals core value.

In addition, NYC Health + Hospitals recognizes that structural racism - the way in which society fosters racial discrimination through systems of housing, education, employment, criminal justice, and other institutionalized practices - has been a significant factor in creating health care disparities seen in the United States, as evidenced among indigenous peoples and populations of color. These disparities include higher death rates, shorter life spans, and poorer outcomes in the face of chronic diseases.

Therefore, NYC Health + Hospitals reaffirms its mission of identifying opportunities to reduce racism's impact in clinical care, education and training, professionalism, staff development, staff engagement and in provider and staff recruitment. Additionally, NYC Health + Hospitals commits to actively promoting social justice, challenging discrimination, and continuously monitoring diversity and inclusion efforts.

NYC Health + Hospitals aims to contribute to a health care landscape and workforce environment free of discrimination or bias on the basis of race,

color, national origin, alienage or citizenship status; religion/creed; gender identity, disability; age, pregnancy; criminal record, marital status; genetic information; sexual orientation; veteran/military status; status as a victim or witness of domestic violence; weight, height, and/or any other protected class covered by Federal, State and/or local anti-discrimination laws. Join us as we continue on a path towards our destination of equity.

NYC HEALTH + HOSPITALS AMONG AMERICA'S MOST SOCIALLY RESPONSIBLE HEALTH CARE PROVIDERS

I am pleased to report that the health System and all our hospitals performed very well on the national index of most socially responsible hospitals in America. The Lown Hospitals Index for Social Responsibility, published by the nonprofit think tank, reviews 3,600 hospitals across the country and it's the only annual ranking to fully integrate racial inclusivity, community investment, and pay equity with traditional outcomes measures. Medicare Advantage claims have been included for the first time, further distinguishing the Lown Index from other platforms in terms of scope and validity.

As a health System we ranked at the top of all the categories nationwide:

- #2 for Health Equity - for strong performance across metrics of community benefit, pay equity, and inclusivity
- #3 for Pay Equity - the difference in compensation of hospital executives compared to health care workers with advanced degrees
- #5 for Community Benefit - financial assistance spending, service of Medicaid patients, and investing in community health needs

Our individual hospitals also earned high rankings at the national and State level:

- Jacobi Hospital ranked #1 in the country for avoiding overuse of test and medical procedures that offer little or no clinical benefit
- Metropolitan Hospital ranked at the top as America's most inclusive hospital, a category that measures the extent to which patients being served are demographically similar to those in the surrounding community. The hospital is also #1 in NY State for Health Equity, Inclusivity, and Racial Inclusivity.
- Bellevue Hospital is #1 in NY State for Community Benefit and top 10 in the nation in the same category. It is in the top 5 in NYS for Health Equity.
- Harlem Hospital ranked in the top 5 in NY State for Social Responsibility, Pay Equity, and Racial Inclusivity.
- Lincoln Hospital is in the top 5 in NY State for Health Equity, Community Benefit, and Inclusivity.
- Queens Hospital is in the top 5 in NY State for Racial Inclusivity

- South Brooklyn Health is #1 in NY State for Pay Equity.
- All our hospitals earned an 'A' grade in at least one category of equity, value and outcomes.

NYC HEALTH + HOSPITALS EXPANDS BEHAVIORAL HEALTH WORKFORCE WITH 50 PEER ACADEMY GRADUATES

NYC Health + Hospitals this month celebrated our Peer Academy graduation where more than 50 New Yorkers with lived experience with mental health or substance use conditions trained to become peer counselors. Peer services are a critical part of the behavioral health care that we provide to our patients. Peer counselors are able to connect with traditionally hard-to-reach patients by sharing their lived experience to help others cope and recover. They are living proof that recovery is possible, and they are highly adept at inspiring hope for those that they serve. We have more than 80 peers on staff across the System, the largest hospital-based peer workforce in the City. In addition to the self-directed hours required for State certification, the program includes six weeks of classroom training and a six-week full-time, hospital-based internship with rotations in the inpatient mental health unit, emergency department, and mobile crisis teams. Peer Academy staff work with the students to help them find and maintain employment for up to six months after graduation. An increasing number of the students are former NYC Health + Hospitals patients who were referred by clinicians throughout the System, and are in recovery yet have very limited work histories. There is huge interest in participating in the program, as it is a job that can fill someone's life with meaning and purpose.

NYC HEALTH + HOSPITALS/CORRECTIONAL HEALTH SERVICES OPENS REENTRY SERVICE CENTER, PROVIDES FREE SMARTPHONES TO VULNERABLE NEW YORKERS LEAVING RIKERS

Our Correctional Health Services (CHS) team this month opened the first-ever reentry service center on Rikers Island. The CHS center will serve as a resource hub for the hundreds of people who are released from Rikers each year, as well as members of the public who are visiting incarcerated loved ones and individuals who work with people in the City's custody. The center will be staffed by CHS reentry liaisons, who can help connect formerly incarcerated individuals to community-based health and social services and can provide naloxone training and kits and fentanyl test strips to all visitors. The center will be open Monday through Friday, 8 a.m. to midnight. To mark the opening, CHS teamed up with Premier Wireless Business Technology Solutions to provide free smartphones and wireless plans to clinically vulnerable New Yorkers immediately upon their release from jail. The smartphones and service plans will help former CHS patients who have significant medical and mental health needs to remain engaged in health care and to stay connected to loved ones as they return to the community.

NYC HEALTH + HOSPITALS EXPANDS STREET HEALTH OUTREACH & WELLNESS PROGRAM TO SERVE UNSHELTERED QUEENS RESIDENTS

NYC Health + Hospitals/Elmhurst launched a [Street Health Outreach and Wellness \(SHOW\)](#) mobile unit to provide comprehensive healthcare services and social supports for residents of the Queens community who are unsheltered or living on the street. The SHOW program leverages the mobile medical model our health System pioneered during the COVID-19 pandemic and our principles of patient-centered care and harm reduction to serve New Yorkers in need. The SHOW van is staffed by a comprehensive, patient-centered team of mental health and wellness staff, including a registered nurse or nurse practitioner, social worker, addiction counselor and community health worker. Our System wide SHOW program deploys a fleet of eight mobile health units across New York City to meet people historically disconnected from a continuum of care where they are, engage them, and invite them in for care without appointments, cost, or other barriers. Patients are assessed for care needs, and provided services including wound care, substance use treatment referrals, connections to primary care, snacks and hygiene supplies. Since the program's launch in April 2021, SHOW teams have performed over 216,000 engagements with New Yorkers, providing nearly 90,000 COVID-19 tests, 21,000 medical consultations, 9,000 vaccinations, and 60,000 social work engagements.

NYC HEALTH + HOSPITALS RECOGNIZED BY THE AMERICAN HEART ASSOCIATION FOR QUALITY CARE

All 11 public hospitals in our health System were again recognized by the American Heart Association for their commitment to science-based practices and exceptional quality care in heart failure, heart attack, stroke, diabetes, and resuscitation. Every 40 seconds, someone in the U.S. has a stroke or heart attack, and heart disease and stroke are the No. 1 and No. 5 causes of death in the United States, respectively. Studies show patients can recover better when providers consistently follow treatment guidelines. Our hospitals earned these recognitions by meeting specific quality achievement measures for the diagnosis and treatment of heart failure and stroke patients, which includes evaluation of the proper use of medications and aggressive risk-reduction therapies. Before discharge, patients also receive education on managing their heart failure and overall health, and receive other care transition interventions.

NYC HEALTH + HOSPITALS/JACOBI TO EXPAND COMPREHENSIVE ADDICTION TREATMENT CENTER IN THE BRONX

NYC Health + Hospitals/Jacobi was awarded \$660,000 by Governor Kathy Hochul, the Office of Addiction Services and Supports (OASAS), and the New York State's Opioid Settlement Fund to expand the hospital's Comprehensive Addiction Treatment Center for New Yorkers experiencing substance use disorder. The funds enhance the array of services offered at the center, which include individual and group therapy, medication assisted treatment and support.

NYC HEALTH + HOSPITALS/SOUTH BROOKLYN HEALTH RECEIVES PRESTIGIOUS NURSING AWARD

NYC Health + Hospitals/South Brooklyn Health Emergency Department (ED) nurses are the first in our health System's history to receive the prestigious *Emergency Nurses Association (ENA) Lantern Award*. With over 50,000 members worldwide, the ENA's mission is to advance excellence in

emergency nursing, and believes in core values of: collaboration; compassion; diversity and inclusion; excellence; a culture of inquiry, honesty, and integrity; and a spirit of philanthropy. The award recognizes nursing excellence in areas of leadership, practice, education, advocacy and research. Our nurses at South Brooklyn Health are instrumental in providing compassionate and life-saving care while responding to more than 76,000 emergency visits every year.

NYC HEALTH + HOSPITALS/SOUTH BROOKLYN HEALTH MIDWIFERY PROGRAM REACHES MILESTONE WITH 20,000 BIRTHS

NYC Health + Hospitals/South Brooklyn Health reached a significant milestone with its 20,000th midwifery birth. Baby Girl Ali entered the world on Thursday, July 6 at 4:37 a.m., under the watchful eyes of our certified nurse-midwife – Patrina Royes. The occasion marks the hospital’s commitment to improving maternal and infant health outcomes in South Brooklyn and surrounding communities. Midwives have been part of South Brooklyn Health’s care delivery team since 1982, and remain an integral component in our pursuit of delivering high-quality maternity care, including the elimination of intractable racial disparities in maternal health for Black and Hispanic women. In 2022, South Brooklyn Health had over 1,200 births, with midwives being responsible for nearly one-third of all births.

FINANCE UPDATE

The last Finance Committee meeting of the Board was held on July 10th where we shared more details about our recent financial highlights. The System closed June with approximately \$745 million - 30 days cash-on-hand. Through April, the System has a negative Net Budget Variance of \$200 million (-1.4%). Direct Patient Care Receipts (Inpatient and Outpatient) were \$3 million lower than the same period in FY-22 due to lower IP UPL Conversion in FY-23 at this point in the fiscal year. Patient care volume in FY-23 has returned to pre-COVID levels, and is 8% ahead of FY-20 in OP visits. Revenue base remains strong and resilient primarily driven by returning volume and higher average collectability rate over the base. Overall, our strategic Financial Initiatives remain on track generating over \$655 million through April of FY-23 with a line of sight that meets our FY-23 target of \$675.6M. Areas of strongest net performance as of April include value-based payment initiatives and managed care initiatives (\$281 million), revenue cycle improvements (\$207 million), and growth & service line improvements (\$145 million).

EXTERNAL & COMMUNITY AFFAIRS UPDATE

Federal - Both the House and Senate continue to discuss Site Neutral policies that could negatively impact hospitals. Congress is also considering workforce investments and delaying the DSH cuts slated for later this year, but these cannot be paired with cuts to hospitals. Our health System continues to advocate to our Congressional delegation about these important priorities.

State - Few workforce related bills that our health System for have been signed into law, including a bill that modernizes the restricted clinical laboratory license bill to allow individuals holding the license to perform all molecular test, and a bill that expands the use of certain non-patient-

specific standing orders that registered nurses can administer. We thank Assemblywoman Nily Rozic for securing \$1 million dollars in state funds to upgrade the Hugs Infant Security and Protection System at NYC Health + Hospitals/Queens.

City - The Mayor and City Council agreed on City's FY-24 budget on June 29th, which is approximately \$107B. As part of the budget, our health system received \$80.6M in capital awards, which breaks down as follows: \$59.6M from City Council, \$3.2M from Borough President, \$2M in Mayoral Funding for Medical Equipment, and another \$15.8M from Borough President.

Community Affairs - We hosted our annual Marjorie Matthews Awards Celebration to recognize members of our Community Advisory Boards and Auxiliaries for their service and important role in our communities. We are coordinating with CMS to host 5 Health Insurance Symposiums in the fall. Workshops will focus on Medicare, Medicaid services, recertification, NYS of Health, HRA, NYC Care - and will be open to staff and community partners. Another workshop - for staff - will focus on Medicare Billing and Reimbursement with the Medicare Administrative Contractor. We will announce more details as they are finalized.

CONTRACTS

Since my last update to you regarding our asylum seeker contracting response, we have had the following additional contract actions:

- An extension of the food services contract with LIC Com, LLC (an NYC MBE) through December 11, 2023 for an amount not to exceed \$217,050,560.
- An extension of the food services contract with Rethink Food NYC Inc. through August 1, 2023 for an amount not to exceed \$138,337,296.
- An amendment of the medical triage services contract with Rapid Reliable Testing NY, LLC to expand the scope of work to include social and casework services and CDI and ASL translation services, as well as to extend the term of the contract through March, 26, 2024 for an amount not to exceed \$310,586,338.
- To house single adult male migrant asylum seekers, the rental of 320 West 31st Street for one year from June 7, 2023 to June 6, 2024 for an amount not to exceed \$8,213,700.
- To house single adult male migrant asylum seekers, the rental of 37-11 35th Avenue, Astoria for one year from May 17, 2023 to May 16, 2024 for an amount not to exceed \$1,015,155.
- A renewal of our existing lease of the Stewart Hotel to house the families of migrant asylum seekers for three years through June 6, 2026 but the agreement may be terminated on or after December 6, 2024 for a cost not to exceed \$158,070,221.
- To house the families of migrant asylum seekers, the rental of dorms owned by the American Musical and Dramatic Arts School on 117 West 70th Street and 205/207 West 85th Street, sometimes known as the Stratford, for three years from June 12, 2023 to May 31, 2026 but the

agreement may be terminated on or after January 11, 2025 for an amount not to exceed \$109,010,880.

- To house the families of migrant asylum seekers, the rental of dorms located at 1760 Third Avenue for 11 months from June 27, 2023 to April 30, 2024 for an amount not to exceed \$30,190,062.
- To house single adult male migrant asylum seekers, the rental of 47 Hall Street, Brooklyn for a period of 18 months commencing upon the completion of certain construction at the property projected to occur September 15, 2023 which would put the expiration of the lease at approximately March 14, 2025 for an amount not to exceed approximately \$45,000,000. This project has the potential to include more floor area and to be as long as 7 years but the expansion or extension are required to be coupled with a takeover of the project from H+H by DCAS.
- To house the families of migrant asylum seekers, the rental of the Crown Plaza at JFK Hotel, for three years provided that the agreement may be terminated after one year for an amount not to exceed \$72,659,916.

I would also like to note that all of the services being provided to the HERRC hotels are undergoing an RFP process to ensure we have all of our necessary due diligence and vendor diversity considerations accounted for; and the proposed contract awards resulting from the RFPs will be coming to the Board beginning in September.

NEWS AROUND THE HEALTH SYSTEM

- [NYC Health + Hospitals and its Facilities Recognized by the Low Institute as Among America's Most Socially Responsible Hospitals](#)
- [Statement on "Opill"](#)
- [NYC Health + Hospitals/Correctional Health Services to Provide Free Smartphones to Vulnerable New Yorkers Leaving Rikers at First-Of-Its-Kind Reentry Service Center](#)
- [NYC Care and Asian American Federation Partner on Video Series to Enhance Program Engagement](#)
- [NYC Health + Hospitals Announces All 11 Hospitals Again Recognized by the American Heart Association for Quality Care](#)
- [NYC Health + Hospitals Launches Application for Clinical Leadership Fellowship 2024-2025](#)
- [NYC Health + Hospitals Statement on Study Showing That Latinos With Higher-Level Medical Degrees Are Less Represented in the Health Care Workforce](#)
- [NYC Health + Hospitals' Street Health Outreach & Wellness \(Show\) Program Brings Mobile Health and Social Services to Unsheltered Queens Residents](#)
- [Dr. Mabelle Allen Recognized by Modern Healthcare as One of the Year's '50 Most Influential Clinical Executives'](#)

RESOLUTION - 06

Adopting by the Board of Directors of New York City Health and Hospitals Corporation (the “System”), pursuant to Article 57-A of the New York State Arts and Cultural Affairs Law, **the applicable provisions of the Retention and Disposition Schedule for New York Local Government Records, issued by the Commissioner of the New York State Education Department, (the “LGS-1”) as revised** by the System’s Records Management Governance Committee for use by all workforce members in legally disposing of System records, a copy of which is attached to this resolution.

WHEREAS, § 57.25(2) of Article 57-A of the New York State Arts and Cultural Affairs Law (Local Government Records Law), and its implementing regulation found at 8 NYCRR Part 185, require the governing body of each local government to adopt by formal resolution of the governing body the records retention and disposition schedule; and

WHEREAS, the System, as a New York public benefit corporation, meets the definition of a local government under Arts and Cultural Affairs Law § 57.17(1); and

WHEREAS, pursuant to § 57.25 (2) of Article 57-A of the Arts and Cultural Affairs Law, no officer of a public benefit corporation may destroy or otherwise dispose of a record, as that term is defined under Arts and Cultural Affairs Law § 57.17 (4), without the consent of the Commissioner of the New York State Education Department (the “Commissioner”); and

WHEREAS, pursuant to Arts and Cultural Law § 57.25 (2) and 8 NYCRR § 185, the System’s governing body must adopt, by formal resolution, the LGS-1 found at 8 NYCRR § 185 (Appendix L), which has been revised by the System’s Records Management Governance Committee; and

WHEREAS, the revised LGS-1 has been reviewed and approved by various System stakeholders, including the Office of Legal Affairs, Human Resources, and Health Information Management.

NOW, THEREFORE, be it

RESOLVED, that the Board of Directors of New York City Health and Hospitals Corporation (the “System”), hereby adopts, for use by all workforce members in legally disposing of System records, the applicable provisions of the Retention and Disposition Schedule for New York Local Government Records (the “LGS-1”), issued by the Commissioner of the New York State Education Department, as revised by the System’s Records Management Governance Committee, a copy of which is attached to this resolution.

EXECUTIVE SUMMARY

ADOPTION OF THE RECORD RETENTION AND DISPOSITION SCHEDULE FOR NEW YORK LOCAL GOVERNMENTS

OVERVIEW:

Article 57-A of the New York State Arts and Cultural Affairs Law prohibits officers of public benefit corporations, such as NYC Health and Hospitals Corporation (the “System”), from destroying or otherwise disposing of records without the consent of the Commissioner of the New York State Education Department (the “Commissioner”).

Pursuant to Arts and Cultural Affairs Law § 57.25(2), the Commissioner has formally consented to the disposition of records provided that such disposition is in accordance with the Retention and Disposition Schedule for New York Local Government Records (the “LGS-1”) found at 8 NYCRR § 185 (Appendix L). LGS-1 has been revised by the System’s Records Management Governance Committee to make it applicable to the System’s records. As set forth under Arts and Cultural Affairs Law § 57.25 (2) and its implementing regulations found at 8 NYCRR Part 185, the System may legally dispose of those records generated and kept in the normal course of business that have satisfied the retention periods set by LGS-1, provided that the System’s governing body adopts LGS-1 by formal resolution.

PROPOSAL:

The revised LGS-1 has been reviewed and approved by various System stakeholders, including the Office of Legal Affairs, Human Resources, and Health Information Management. Therefore, the Office of Corporate Compliance now respectfully seeks the adoption of the revised LGS-1 by the System’s Board of Directors to serve as the System’s official record retention and disposition schedule.

Request to Adopt the Retention and Disposition Schedule for New York Local Government Records

Board of Directors Meeting
September 28, 2023

Catherine Patsos, Chief Corporate Compliance Officer
Karyn Wilkinson, Corporate Records Management Officer

Board of Directors Consideration

- Adopting by the Board of Directors of New York City Health and Hospitals Corporation (the “System”), pursuant to Article 57-A of the New York State Arts and Cultural Affairs Law, the applicable provisions of the Retention and Disposition Schedule for New York Local Government Records, issued by the Commissioner of the New York State Education Department, (the “LGS-1”) as revised by the System’s Records Management Governance Committee for use by all workforce members in legally disposing of System records.

Legislative Requirement

- NYC Health + Hospitals, as a public benefit corporation, meets the definition of a local government under Article 57-A of the New York State Arts and Cultural Affairs Law.
- As a local government, NYC Health + Hospitals is required to adopt Local Government Retention Schedule (LGS-1).
- LGS-1 was issued by the Commissioner of the New York State Education Department and describes the types of records created or held by local governments and their associated retention periods.

Current Record Retention Program

- Working on reduction of paper storage at Iron Mountain.
- Working with facilities to destroy paper records in storage that are beyond retention requirements in an effort to reduce storage costs.
- Initiated a scanning program in conjunction with the office moves to 50 Water Street, in compliance with electronic record requirements.
- Under the Arts and Cultural Affairs Law, a record can be reproduced by any means that accurately and completely reproduces all the information in the record. The original record can then be disposed of provided that the reproduction process and the preserving and examination of the copy meet the requirements of the New York State Education Department.
- The reproduced copies that meet these requirements are deemed to be originals.

Current Record Retention Schedule

- Schedule MI-1
- Issued 2006
- Contains outdated retention periods for certain record types (e.g. employee retirement records)
- Not searchable

Revision of New Schedule

- NYC Health + Hospitals established a Records Management Governance Committee, a subcommittee of which reviewed and revised LGS-1 to align it with the types of records that NYC Health + Hospitals maintains. For example, medical records, personnel records, Board of Directors documents, finance documents, legal documents, information technology documents, investigation and audit documents, building and property documents, payroll documents, and purchasing documents.
- The subcommittee consisted of representatives from Legal Affairs, Human Resources, Corporate Compliance, and Health Information Management.
- The subcommittee also revised Operating Procedure 120-19 “Corporate Records Management Program,” to which the revised LGS-1 will be attached.

Board of Directors Request

- Adopting by the Board of Directors of New York City Health and Hospitals Corporation (the “System”), pursuant to Article 57-A of the New York State Arts and Cultural Affairs Law, the applicable provisions of the Retention and Disposition Schedule for New York Local Government Records, issued by the Commissioner of the New York State Education Department, (the “LGS-1”) as revised by the System’s Records Management Governance Committee for use by all workforce members in legally disposing of System records.
- LGS-1 will be implemented upon approval by the Board of Directors.

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Corporation and Business Entities Filings	Assumed business name certificates	(D.B.A.-Doing Business As) and related materials					a Assumed business name certificate:	6 years after discontinuance filed		
Corporation and Business Entities Filings	Assumed business name certificates	(D.B.A.-Doing Business As) and related materials					b Assumed business name certificate index:	PERMANENT		
Corporation and Business Entities Filings	Register of professions,	including nurses, midwives, doctors and other professionals:	PERMANENT							
Corporation and Business Entities Filings	Minority-, and women-, or disadvantaged-owned business files,	covering minority-, women-, or disadvantaged-owned (MWBE and DBE) businesses doing business with or in the jurisdiction of a local government					a Summary record listing businesses, eligibility criteria and official government policy statement:	PERMANENT		
Corporation and Business Entities Filings	Minority-, and women-, or disadvantaged-owned business files,	covering minority-, women-, or disadvantaged-owned (MWBE and DBE) businesses doing business with or in the jurisdiction of a local government					b Detailed application/questionnaire/response completed by business:	5 years after date of most recent entry in record	Appraise these records for historical significance prior to disposition. If the local government uses its own rather than statewide criteria for approving these businesses, then these records may document minority-, women-, or disadvantaged-owned businesses operating in the community.	
Corporation and Business Entities Filings	Minority-, and women-, or disadvantaged-owned business files,	covering minority-, women-, or disadvantaged-owned (MWBE and DBE) businesses doing business with or in the jurisdiction of a local government					c Directory of state-approved minority-, women-, and disadvantaged-owned businesses, maintained by State Department of Economic Development or New York State Unified Certification Program:	0 after superseded		
Corporation and Business Entities Filings	Minority-, and women-, or disadvantaged-owned business files,	covering minority-, women-, or disadvantaged-owned (MWBE and DBE) businesses doing business with or in the jurisdiction of a local government					d Other records, including job quotes, bid lists, referrals, credit and character references and affidavits, but not including summary record, detailed application/questionnaire/response, eligibility criteria and official government policy statement, and state-supplied directory of businesses:	6 years after contract expiration		
Corporation and Business Entities Filings	Chattel mortgages and conditional sales			Local governments may wish to consider long-term or permanent retention for chattel mortgage records since documentation often contains information about debtor-creditor relations and transactions, as well as prove useful for social history.			a Index volume or other master listing of chattel mortgages and/or conditional sales:	PERMANENT		
Corporation and Business Entities Filings	Chattel mortgages and conditional sales			Local governments may wish to consider long-term or permanent retention for chattel mortgage records since documentation often contains information about debtor-creditor relations and transactions, as well as prove useful for social history.			b Chattel mortgage or conditional sale contract and satisfaction:	0		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Corporation and Business Entities Filings	Public utility gross income tax return,	filed with city or village receiving tax payment from utility:	6 years							
Corporation and Business Entities Filings	Copy of inspection and/or investigation report,	relating to licensing and operation for non-profit organization conducting bingo or games of chance:	1 year							
Corporation and Business Entities Filings	Lottery, raffle, or other fund-raising game or event records,	except bingo or games of chance, when operated by local government:	3 years	Records relating to licensing of bingo or games of chance by local governments are covered under the Games of Chance/Bingo/Lottery section.						
Ethics	Financial or political interest disclosure records,	filed by vendor or contractor doing business with the local government:	6 years							
Ethics	Annual financial disclosure statements,	filed by local political party official or candidate for local elected office, pursuant to Section 812.1 (a), General Municipal Law:	7 years							
Ethics	Lobbying activity records,	including but not limited to registration records and periodic reports of lobbying activity filed with the New York State Joint Commission on Public Ethics:	3 years							
Incidents	Accident report	and related records:	3 years, or 0 after individual attains age 21, whichever is later							
Incidents	Internal investigation or non-fiscal audit records			Fiscal audit records are covered by item no. 472 in the Fiscal section, Audit subsection. Investigations of personnel are covered by item no. 637 in the Personnel/Civil Service section, Personnel subsection.			a Report and recommendation resulting from investigation:	PERMANENT		
Incidents	Internal investigation or non-fiscal audit records			Fiscal audit records are covered by item no. 472 in the Fiscal section, Audit subsection. Investigations of personnel are covered by item no. 637 in the Personnel/Civil Service section, Personnel subsection.			b Background materials and supporting documentation:	6 years		
Incidents	Report of incident of theft, arson, vandalism, property damage or similar occurrence:		6 years	This item does not apply to records found in the public safety area. See the Public Safety section of this Schedule.	For records of responses to threats against public and other facilities, and discovery of possible explosives, pathogens or other hazardous substances, see item no. 925 in the School District and BOCES: School Safety subsection.					

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Incidents	Child abuse or maltreatment reports	and related records, reporting agency copy		This item covers copies of child abuse and maltreatment reports and related records retained by agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments. Reporting agencies may be in such areas as education, youth services and recreation. Reporting copies maintained by law enforcement agencies are covered by item no. 1281 in the Public Safety section, Law Enforcement: Miscellaneous subsection.			a For sexual offenses against a child as defined by the Child Victims Act:	0 after child attains age 55		
Incidents	Child abuse or maltreatment reports	and related records, reporting agency copy		This item covers copies of child abuse and maltreatment reports and related records retained by agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments. Reporting agencies may be in such areas as education, youth services and recreation. Reporting copies maintained by law enforcement agencies are covered by item no. 1281 in the Public Safety section, Law Enforcement: Miscellaneous subsection.			b For all other offenses:	3 years		
Incidents	Noise level monitoring records,	including but not limited to summary records, showing long-term trends and developments and original entry and intermediary records, including charts, graphs and statistics:	6 years	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of summary records, showing long-term trends and developments, in cases where noise levels are a matter of public concern. Contact the State Archives for additional advice in this area.						
Legal	Legal opinion	or legal directive rendered by local, state, or federal government agency:	PERMANENT							
Legal	Local law (including certification that law was properly enacted), rule, regulation, ordinance, resolution, proclamation or court order:		PERMANENT							
Legal	Local law or ordinance violation records,	not related to zoning ordinance violation					a For alleged but unfounded violation:	1 year		
Legal	Local law or ordinance violation records,	not related to zoning ordinance violation					b Violation files:	6 years after date of last entry in record		
Legal	Local law or ordinance violation records,	not related to zoning ordinance violation					c Master summary record of violations:	PERMANENT		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Legal	Legal agreement,	including contract, lease, and release involving local government:	6 years after expiration or termination or 6 years after final payment under contract, whichever is later	This item does not apply to contracts (collective bargaining agreements) between a local government and a public employee labor organization. These contracts are covered by item no. 649 in the Personnel/Civil Service section, and must be retained permanently.						
Legal	Signature card,	or equivalent record, showing signature of individual legally authorized to sign specific transaction:	6 years after authorization expires or is withdrawn							
Legal	Notary public and Commissioner of deeds	appointment records, including but not limited to commission, certificate of official character, certificate of appointment and oath:	6 years after each authorization expires or is withdrawn							
Legal	Notices of appearance,	filed by individual retained by another person or group to represent them at an appearance before the governing body or department:	3 years							
Legal	Proof of publication or posting,	legal notices, or certification thereof		This item does not apply to real property tax lien sales (see item no. 1051 in the Taxation and Assessment section).		a	Relating to bond or note issue or tax limit increase:	6 years after issue or increase disapproved or retired		
Legal	Proof of publication or posting,	legal notices, or certification thereof		This item does not apply to real property tax lien sales (see item no. 1051 in the Taxation and Assessment section).		b	Not relating to bond or note issue or tax limit increase:	6 years		
Legal	Copy of order of protection for student or employee at school or place of employment,	pursuant to Article 530, Criminal Procedure Law:	6 months after order expires or otherwise becomes invalid							
Legal	Reapportionment or establishment plan	for legislative body, including background materials:	PERMANENT							
Legal	Governmental establishment and reorganization records,	covering establishment, incorporation, annexation, consolidation, dissolution or charter revision, for political subdivision, including but not limited to petitions, special studies and surveys, correspondence with state agencies, records of voter action and reports:	PERMANENT							
Legal	Notification of proposed zoning change,	received from municipality adjoining county:	1 year							
Legal	Historic preservation records,	including but not limited to background files relating to proposed historic preservation legislation, historic district and/or structure designation, records and case files for proposed external modifications to structures with historic designations:	PERMANENT							
Legal	Record of gifts and bequests to a local government,	including copy of will, copies of deeds, maps and surveys (if applicable) and records of establishment of and use of monies generated by trust fund or endowment		This does not apply to donations of real property, which are covered by item no. 803 in the Public Property and Equipment section.		a	When trust fund or endowment is involved:	PERMANENT		
Legal	Record of gifts and bequests to a local government,	including copy of will, copies of deeds, maps and surveys (if applicable) and records of establishment of and use of monies generated by trust fund or endowment		This does not apply to donations of real property, which are covered by item no. 803 in the Public Property and Equipment section.		b	For gift of work of art, historical or other artifact or historical manuscript:	PERMANENT		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Legal	Record of gifts and bequests to a local government,	including copy of will, copies of deeds, maps and surveys (if applicable) and records of establishment of and use of monies generated by trust fund or endowment		This does not apply to donations of real property, which are covered by item no. 803 in the Public Property and Equipment section.			c For gift or bequest not covered under parts "a" or "b", or by note above:	6 years		
Meetings/Hearings	Official minutes and hearing transcripts of governing body or board, commission or committee thereof,	including all records accepted as part of minutes:	PERMANENT							
Meetings/Hearings	Meeting files of governing body or board or agency, commission or committee thereof,	including agendas, background materials and other records used at meetings		Appraise these records for continuing administrative or historical value prior to disposition. Agendas may have continuing administrative value and may be useful for accessing information in unindexed minutes and for indexing those minutes. Other records prepared for or used at meetings may have administrative or historical value for documenting issues discussed at the meetings and referenced in the minutes. See item no. 47, above, for records which are accepted as part of the minutes.			a Records not accepted as part of the minutes, including agendas, background materials and other records used at meetings:	1 year		
Meetings/Hearings	Meeting files of governing body or board or agency, commission or committee thereof,	including agendas, background materials and other records used at meetings		Appraise these records for continuing administrative or historical value prior to disposition. Agendas may have continuing administrative value and may be useful for accessing information in unindexed minutes and for indexing those minutes. Other records prepared for or used at meetings may have administrative or historical value for documenting issues discussed at the meetings and referenced in the minutes. See item no. 47, above, for records which are accepted as part of the minutes.			b Temporary drafts or personal notes that were not circulated, reviewed, or used to make decisions or complete transactions:	0 after no longer needed		
Meetings/Hearings	Minutes and meeting files of non-governing bodies,	including internal staff committees or teams, inter-agency teams, or entities not covered by Public Officers Law Article 7 (Open Meetings Law), documenting proceedings of meetings, including minutes, agendas, background materials, recordings, and other records		See item nos. 47, 48, and 51 for minutes, recordings, and meeting files of governing bodies or entities covered by the Open Meetings Law.			a Documenting significant policy or decision making or significant events, or dealing with legal precedents or significant legal issues:	PERMANENT		
Meetings/Hearings	Minutes and meeting files of non-governing bodies,	including internal staff committees or teams, inter-agency teams, or entities not covered by Public Officers Law Article 7 (Open Meetings Law), documenting proceedings of meetings, including minutes, agendas, background materials, recordings, and other records		See item nos. 47, 48, and 51 for minutes, recordings, and meeting files of governing bodies or entities covered by the Open Meetings Law.			b Containing routine legal, fiscal or administrative information:	6 years		
Meetings/Hearings	Minutes and meeting files of non-governing bodies,	including internal staff committees or teams, inter-agency teams, or entities not covered by Public Officers Law Article 7 (Open Meetings Law), documenting proceedings of meetings, including minutes, agendas, background materials, recordings, and other records		See item nos. 47, 48, and 51 for minutes, recordings, and meeting files of governing bodies or entities covered by the Open Meetings Law.			c Of no fiscal, legal or administrative value:	0 after no longer needed		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Meetings/Hearings	External group meeting files,	including minutes, agendas, background materials, studies and reports, and other records used by an employee acting in an official capacity with associations, organizations, or other groups that are not part of the local government:	0 after no longer needed							
Meetings/Hearings	Recording of voice conversations,	including audio and video recordings, stenotype or stenographer's notebook and also including verbatim minutes used to produce official minutes and hearing proceedings, report, or other record					a Recording of public or other meeting of governing body or board, committee or commission thereof:	4 months after transcription or minutes are created	Appraise these records for historical significance prior to disposition. Audio and videotapes of public hearings and meetings at which significant matters are discussed may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice on the long-term maintenance of these records.	Video recordings of public hearings and meetings which have been broadcast on local government public access television are covered by item no. 72.
Meetings/Hearings	Recording of voice conversations,	including audio and video recordings, stenotype or stenographer's notebook and also including verbatim minutes used to produce official minutes and hearing proceedings, report, or other record					b Other recordings:	0 after no longer needed		
Office Administration	Manual of procedures,	or policies and standards					a Involving major procedures, policies and standards affecting local government operations, critical functions or issues of public visibility or concern:	PERMANENT	Disaster plans are covered by item 139 in the Civil Defense/Disaster Preparedness section.	
Office Administration	Manual of procedures,	or policies and standards					b Involving routine day-to-day procedures, policies and standards pertaining to internal administration of a local government:	6 years after superseded		
Office Administration	Correspondence,	and supporting documentation maintained in a subject file (generated or received by a local government), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule					a Documenting significant policy or decision making or significant events, or dealing with legal precedents or significant legal issues:	PERMANENT	Significant correspondence is often maintained by the chief executive or administrative officer, and sometimes in subject file format. See item no. 471 in the Executive section.	
Office Administration	Correspondence,	and supporting documentation maintained in a subject file (generated or received by a local government), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule					b Containing routine legal, fiscal or administrative information:	6 years		
Office Administration	Correspondence,	and supporting documentation maintained in a subject file (generated or received by a local government), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule					c Of no fiscal, legal or administrative value (including letters of transmittal, invitations and cover letters):	0 after no longer needed		
Office Administration	Special project or program files,	including official copy of publications, videotapes, or informational literature prepared for public distribution, background materials and supporting documentation:	6 years after project or program ends	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. If special projects or programs deal with significant subjects, then certain documentation from these files, such as summary reports and resulting publications, should be retained permanently.						

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Office Administration	Grant program file			Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.	Federal emergency management and disaster response grants are covered under item no. 147 in Civil Defense/Disaster Preparedness section.		a Application, proposal, narrative, evaluation, and annual report for grants that have been awarded:	6 years after renewal or close of grant	Local governments may find that some of the records covered by part "a" have ongoing administrative value. These records may be useful beyond the minimum retention period for preparing future grant applications.	
Office Administration	Grant program file			Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.	Federal emergency management and disaster response grants are covered under item no. 147 in Civil Defense/Disaster Preparedness section.		b Background material, fiscal records, and supporting documentation for grants that have been awarded and all records relating to grant applications that have been rejected:	6 years after renewal or close of grant or denial of application		
Office Administration	Project review records,	covering projects requiring approval by the Adirondack Park Agency, Lake George Park Commission, or other government entity or agency, where local government receives records for comment or review, or for informational purposes					a When permit or other approval must be granted by local government involved:	Retain as long as related building, land use, planning, zoning, or environmental permit or approval		
Office Administration	Project review records,	covering projects requiring approval by the Adirondack Park Agency, Lake George Park Commission, or other government entity or agency, where local government receives records for comment or review, or for informational purposes					b When no permit or approval by local government is needed, and records are received for comment or informational purposes only:	3 years after date of most recent entry		
Office Administration	Internal information record,	including but not limited to calendars of appointments, office and travel schedule, memoranda and routing slips, routine internal reports, reviews and plans, used solely to disseminate information or for similar administrative purposes:	0 after no longer needed							
Office Administration	Duplicate copy of record,	created for administrative convenience, except where retention is specified elsewhere in this Schedule:	0 after no longer needed							
Office Administration	Log or schedule	used for internal administrative purposes only:	0 after no longer needed							
Office Administration	Mailing list	used for billing or other administrative purposes:	0 after superseded or obsolete							
Office Administration	List, index or summary	used for internal administrative convenience or for informational purposes:	0 after obsolete							
Office Administration	Working document,	such as draft, worksheet or posting record except worksheets containing fiscal information:	0 after no longer needed							
Office Administration	Communication log	recording each communication between caller and receiving unit:	1 year		Item nos. 63 and 64 do not apply to records found in the public safety area. See the Public Safety section.					
Office Administration	Telephone call log, statement or equivalent record:		1 year							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Office Administration	Identification card	(duplicate copy or record of issuance) issued to student, client, patron or resident:	0 after invalid	This does not apply to identification cards issued by a law-enforcement agency as proof of age or identity or identification cards issued by local government to its employees. For these, see item no. 1231 in the Public Safety section and item no. 642 in the Personnel/Civil Service section.						
Office Administration	Postal records,	including returned registered or certified mail card or receipt and insurance receipt:	1 year	This does not apply to records documenting delivery of notification to interested parties relating to tax lien sales. See the Taxation and Assessment section of this Schedule.						
Office Administration	Miscellaneous non-government records,	received by local government:	0 after no longer needed	Appraise these records for historical significance prior to disposition. Records which document the history of the community and its citizens may have continuing value for historical or other research and should be retained permanently. These records may contain valuable information which supplements records created by the local government itself. Records not retained permanently may be offered to a local historical records repository. Contact the State Archives for additional advice.	Upon the receipt of these non-public records by a local government, these records become "local government records." Published materials received by a local government are not considered to be public records.					
Public Relations	Official copy of publication,	including newsletter, press release, published report, calendar, bulletin, recording, homepage or other website file, educational or informational program material prepared by or for local government, and associated consent forms		Specific publications are listed in other places in this Schedule. Before using this item to determine the minimum legal retention for a publication, determine if that publication is covered by a more specific item.		a	Publications which contain significant information or substantial evidence of plans and directions for government activities, or publications where critical information is not contained in other publications:	PERMANENT		
Public Relations	Official copy of publication,	including newsletter, press release, published report, calendar, bulletin, recording, homepage or other website file, educational or informational program material prepared by or for local government, and associated consent forms		Specific publications are listed in other places in this Schedule. Before using this item to determine the minimum legal retention for a publication, determine if that publication is covered by a more specific item.		b	Publications where critical information is also contained in other publications or reports, publications which document routine activities, publications which contain only routine information, or publications (such as webpages) that facilitate access to government information on the Internet:	0 after no longer needed	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of samples of publications covered by part "b" of the above item. Contact the State Archives for additional advice in this area.	
Public Relations	Records covering photocopying and other reproduction	of records, books, or other materials, including usage logs and individual copying requests				a	For materials subject to U.S. Copyright Law:	5 years		
Public Relations	Records covering photocopying and other reproduction	of records, books, or other materials, including usage logs and individual copying requests				b	For materials not subject to U.S. Copyright Law:	0 after no longer needed		
Public Relations	Copyright records,	for materials copyrighted by local government, including but not limited to copy of application, notice of copyright and correspondence:	6 years after copyright expires or application denied							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Public Relations	Photographs, other visual media, or audio/video records,	including aerial photographs and consent forms, created by a local government, which are not part of a record series listed elsewhere in this Schedule:	0 after no longer needed	Appraise these records for historical significance prior to disposition. Some photographs and other visual media records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.						
Public Relations	Daily, weekly, monthly, quarterly or other periodic internal or external report, summary, review, evaluation, log, list, statement or statistics:		6 years	For annual, special, or final report, summary, review or evaluation, see item no. 74, below. For routine internal reports and reviews, see item no. 57.						
Public Relations	Annual, special or final report, summary, review or evaluation			Specific annual reports are listed in many places in this Schedule. Before using this item to determine the minimum legal retention for an annual report, determine that a report is not covered by a more specific item.			a Reports which contain substantial evidence of government policy, procedures, plans and directions:	PERMANENT		
Public Relations	Annual, special or final report, summary, review or evaluation			Specific annual reports are listed in many places in this Schedule. Before using this item to determine the minimum legal retention for an annual report, determine that a report is not covered by a more specific item.			b Reports where critical information is contained in other reports, reports which document internal management and housekeeping activities, or reports which contain only routine legal, fiscal and administrative information:	6 years	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.	
Public Relations	Program plan (annual, special or long-range):		PERMANENT	Program plans of a routine nature covering internal activities are covered by item, no. 57. Program plans where significant information is duplicated in other records (which are retained permanently) are covered by item no. 58.						
Public Relations	Opinion survey records						a Survey results, including official copy of survey form:	6 years	Appraise these records for historical significance prior to disposition. Survey results and sample forms involving very significant issues should be retained permanently.	
Public Relations	Opinion survey records						b Completed survey forms:	0 after survey results prepared		
Services	Complaint, petition or request for service	received by local government		Appraise these records for historical significance prior to disposition. Petitions by citizens involving very significant issues should be retained permanently.	For additional fiscal items, see Fiscal section of this Schedule.		a Summary record (such as log or register) of complaints, petitions or requests:	6 years after disposition of all complaints, petitions or requests listed		
Services	Complaint, petition or request for service	received by local government		Appraise these records for historical significance prior to disposition. Petitions by citizens involving very significant issues should be retained permanently.	For additional fiscal items, see Fiscal section of this Schedule.		b Complaints, petitions or requests relating to other than routine services or activities:	6 years after final disposition of complaint, petition or request		
Services	Complaint, petition or request for service	received by local government		Appraise these records for historical significance prior to disposition. Petitions by citizens involving very significant issues should be retained permanently.	For additional fiscal items, see Fiscal section of this Schedule.		c Complaints, petitions or requests relating to routine government services or activities:	1 year after final disposition of complaint, petition or request		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Services	Repair, installation, maintenance or similar record,	including but not limited to request for service, work order, record of work done, and summary or log of service performed:	6 years	For maintenance, testing, service, operational and repair records for public equipment or vehicle, see item no. 817 in the Public Property and Equipment section.						
Services	Surplus food distribution records,	covering federally donated food and related commodities, including but not limited to inventory, order form, eligibility determination records, authorizing receipt and reports on storage and distribution:	4 years							
Training	Training course information records,	including but not limited to memoranda, flyers, catalogues and other records related to specific training courses including information on course content, program registration, instructor, credits, hours and roster of registrants		This item does not cover training in the Public Safety area; see item nos. 1187 and 1200 in the Public Safety section and item no. 930 in the School Safety subsection. This item does not cover training in dealing with toxic substances; see item no. 654 in the Personnel/Civil Service section. For commercial motor vehicle driver alcohol and drug testing training, see item no. 671 in the Personnel/Civil Service section. Records of earnings (in-service) credits are covered by item no. 636 in the Personnel/Civil Service section.	See Fiscal section for records of fiscal transactions involving training programs.		a Continuing Teacher and Leader Education (CTLE) Sponsors courses and workshop:	8 years		
Training	Training course information records,	including but not limited to memoranda, flyers, catalogues and other records related to specific training courses including information on course content, program registration, instructor, credits, hours and roster of registrants		This item does not cover training in the Public Safety area; see item nos. 1187 and 1200 in the Public Safety section and item no. 930 in the School Safety subsection. This item does not cover training in dealing with toxic substances; see item no. 654 in the Personnel/Civil Service section. For commercial motor vehicle driver alcohol and drug testing training, see item no. 671 in the Personnel/Civil Service section. Records of earnings (in-service) credits are covered by item no. 636 in the Personnel/Civil Service section.	See Fiscal section for records of fiscal transactions involving training programs.		b All other training:	0 after superseded or obsolete		
Training	Training course registration processing records,	including but not limited to employees' application and enrollment records for courses including employee data forms, course applications, and supervisors' and training officers' authorizations or denials:	0 after no longer needed for administrative use							
	Legal case file,	documenting litigation and routine matters, including but not limited to court records, investigative materials, memos, correspondence, and decisions and determinations					a For legal case file of attorney or counsel:	6 years after case closed, or 0 after any minor involved attains age 21, whichever is later	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of significant cases which have importance or which set major legal precedents. For instance, local governments may wish to permanently retain files for cases concerning major local controversies, issues, individuals and organizations which are likely to be the subject of ongoing research or which result in decisions or rulings of major significance to the local government or community or to the entire state. Contact the State Archives for additional advice in this area. In addition, local governments may wish to retain the	Evidence, including video and audio recordings, should be returned to law enforcement or owner as appropriate. Local law enforcement should retain evidence as long as the corresponding case investigative file, item no. 1222.

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Legal case file,	documenting litigation and routine matters, including but not limited to court records, investigative materials, memos, correspondence, and decisions and determinations					b For legal case file of public defender:	Retain until 6 years after case closed, or 0 after any minor client attains age 21, whichever is later. Subsequent to this period, the file must continue to be maintained until death of the client concerned, 80 years after date of birth of the client concerned, or the client concerned provides instructions on disposition of the file, whichever is earlier.	This retention period provides for lengthy retention of case files in the absence of instructions from the client on the disposition of the records, such as to transfer the file to the client or to destroy the file. This lengthy period will meet potential future needs of the client for the records or information they contain. These may include use in future civil or criminal matters, such as immigration, capital cases or other legal actions, in which records of previous criminal events and proceedings would be relevant.	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently in the absence of any instructions from the client to the contrary. Local governments should consider permanent retention of significant cases which have importance or which set major legal precedents. For instance, local governments may wish to permanently retain files for cases concerning major local controversies, issues, individuals and organizations which are likely to be the subject of ongoing research or which result in decisions or rulings of major significance to the local government or community or to the entire state. Contact the State
	Legal brief file	("brief bank") containing duplicate copies of legal briefs from case files, retained separately for future reference:	0 after no longer needed							
	Legal case log	giving chronological listing of cases:	0 after no longer needed							
	Legal case index or summary record,	summarizes and/or tracks status of case and may contain listing of cases, dates and summaries of proceedings, conclusions and recommendations, final determinations, notations on activities related to case, and related information:	PERMANENT							
	Evidence logs	documenting the receipt, handling, and return of evidence in the course of an investigation:	1 year after case closed							
	Subpoena,	along with documentation of response, issued to local government agency or officer, when not part of legal case file or any other series of records listed on this Schedule:	6 months after date of response	Subpoenas relating to legal case files or other series of records listed on this Schedule should be retained as part of or as long as that respective series.						
	Subpoenaed records or exhibits	gathered from a government, organization, or individual as part of the discovery process or subpoenaed under civil or criminal procedure law, but not used in a case:	30 days after final disposition of case, unless return is requested by owner. If requested, return to owner.							
	Subject file	assembled and kept for reference purposes:	0 after no longer needed							
	Disaster preparedness or crisis relocation records						a Official copy of plans, including supporting maps, when prepared by local government under provisions of Article 2-B, Executive Law, or other legal or regulatory requirements:	PERMANENT		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Disaster preparedness or crisis relocation records						b Copies of plans held by local government, including supporting maps, when official copies prepared under Article 2-B, Executive Law, are maintained by the local government which created them, along with other disaster preparedness plans, not prepared under Article 2-B, Executive Law, intended for specific buildings or for use by specific local government units:	3 years after superseded		
	Disaster preparedness or crisis relocation records						c Background materials and supporting documentation used in preparation of plans:	3 years		
	Test evacuation and mock disaster response records						a Official plan and detailed procedures for conducting test:	PERMANENT		
	Test evacuation and mock disaster response records						b Summary report and post-event analysis:	PERMANENT		
	Test evacuation and mock disaster response records						c Other records, including but not limited to copies of information provided participants and citizens, traffic congestion reports, video or audio recordings, and interviews with participants and emergency responders:	3 years after date of most recent entry		
	Disaster preparedness and emergency management training materials,	including lesson plans, course materials, and participant lists:	3 years							
	Federal surplus property acquisition records:		6 years after receipt of surplus property							
	Emergency food storage records:		3 years							
	Emergency fuel allocation records,	including monthly application/report and detailed fuel allocation records:	3 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Disaster response and damage files	compiling information on the response of all agencies to a major disaster		Federal emergency management and disaster response grants are covered under item no. 147 in Civil Defense/Disaster Preparedness section.			a Photographs, press clippings, property damage reports, records of emergency response, summary reports of personal injuries, records relating to demolition and new construction, and correspondence:	PERMANENT		
	Disaster response and damage files	compiling information on the response of all agencies to a major disaster		Federal emergency management and disaster response grants are covered under item no. 147 in Civil Defense/Disaster Preparedness section.			b Emergency distribution records for food, medical, equipment, and other supplies:	6 years	Administration of vaccinations is covered by item no. 791 in Public Health section.	
	Federal emergency management and disaster response grant files,	including application, proposal, narrative, evaluation, reports, background materials, fiscal records, and supporting documentation:	6 years after renewal, close of grant, or denial of application	Appraise these records for historical significance prior to disposition.						
	Emergency operating center records	covering maintenance and use:	6 years after center no longer used for civil defense purposes	For property acquisition, facility construction and other records covering emergency operating centers and fallout shelters, see the Public Property and Equipment section.						
	Fallout shelter records						a Licenses, plans and surveys:	6 years after building no longer in existence		
	Fallout shelter records						b Listing of shelters:	0 after superseded or obsolete		
Liens	Financing statement and related records	filed under the Secured Transaction Section of the Uniform Commercial Code (formerly known as chattel mortgages and conditional sales)					a Financing statement, continuation statement or release relating to either, and indexes thereto:	1 year after expiration of lien		
Liens	Financing statement and related records	filed under the Secured Transaction Section of the Uniform Commercial Code (formerly known as chattel mortgages and conditional sales)					b Termination statement and index:	1 year after filing of termination		
Liens	Mechanic's liens						a Notice and discharge of mechanic's lien placing lien against real property for labor or materials furnished for construction or maintenance:	6 years after expiration or release of lien		
Liens	Mechanic's liens						b Docket showing owner of lien property, lienor, location of property, amount, filing date, date and manner of satisfaction and remarks:	6 years after last entry		
Liens	Hospital liens						a Notice of hospital lien (original or renewal) stating lien against real property for services provided by a hospital:	12 years after filing of original or renewal notice		
Liens	Hospital liens						b Index to notices of hospital lien:	25 years after last entry		
Liens	Federal tax lien records,	including but not limited to notice of lien, non-attachment, release, subordination, discharge, and index:	6 years after expiration or release of lien							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Liens	State lien records,	including warrants placing lien on real or personal property by Department of Taxation and Finance (formerly State Tax Commission), Department of Labor, Department of Motor Vehicles, or other state agency, for nonpayment of state taxes or other charges, including index, discharge, and related records:	6 years after discharge of lien or 20 years, whichever is shorter							
Liens	Local government lien records,	including warrants placing lien on real or personal property or sidewalk, for nonpayment of city taxes or other charges, including index, discharge, and related records:	6 years after discharge of lien or 20 years, whichever is shorter							
Liens	Lien bond	to discharge all liens filed by the owner or contractor to guarantee that the property is released from all liens, and lien docket:	6 years after work completed or abandoned							
Liens	Notice of public welfare lien	against assets of relief recipient or on claims or suits for personal injuries, discharge and index:	6 years after discharge of lien							
Liens	Assignment of real and personal property,	including but not limited to statement of refiling, certificate of cancellation, order vacating assignment, satisfaction and index to assignments				a	Assignment of personal property, including but not limited to wage assignment and assignment of proceeds from personal contracts or estates:	6 years after filing or refiling		
Liens	Assignment of real and personal property,	including but not limited to statement of refiling, certificate of cancellation, order vacating assignment, satisfaction and index to assignments				b	Assignment of real property including but not limited to assignment of rent, lease or mortgage:	6 years after satisfaction	Assignments of mortgages of real property are subject to the permanent retention requirements of item no. 320.	
Liens	Lien search record,	including but not limited to record of searches conducted, abstract of search results, correspondence and memoranda:	6 years							
Liens	Lien on vessel,	including all related records such as copy, notice, execution, and discharge of warrant; order of sale and other sale records, and discharge of lien:	6 years after expiration or discharge of lien, discharge of warrant, accounting of proceeds of sale, or payment of all charges, whichever is later							
Liens	Transcripts of small claims or other money judgments	rendered in municipal or district courts:	6 years after satisfaction or expiration of period to enforce judgment							
Miscellaneous (County Clerk)	Building loan contract records				Building loan mortgages associated with building loan contracts are subject to the permanent retention requirements of item no. 320.		a Agreement describing a loan to finance construction:	6 years after satisfaction of the associated building loan mortgage		
Miscellaneous (County Clerk)	Building loan contract records				Building loan mortgages associated with building loan contracts are subject to the permanent retention requirements of item no. 320.		b Building loan contract index:	0 years after all contracts indexed therein have been destroyed		
Miscellaneous (County Clerk)	Private business, not-for-profit, religious or other corporation or partnership records	filed with County Clerk, including but not limited to certificates of incorporation, annual reports, lists of directors or trustees, certificates of stock, records of dissolution, and certificates of partnerships:	PERMANENT							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Miscellaneous (County Clerk)	Original deeds, leases, contracts, wills or other documents	not returned to owner after recording:	PERMANENT	Section 532 of County Law authorizes original documents to be destroyed 20 years after recording provided that the documents are photographically reproduced for preservation purposes.						
Miscellaneous (County Clerk)	Power of attorney:		PERMANENT							
Miscellaneous (County Clerk)	Oath of office or record of official signature	of public employee					a Official copy:	PERMANENT		
Miscellaneous (County Clerk)	Oath of office or record of official signature	of public employee					b Oath of any election official:	1 year after election		
Miscellaneous (County Clerk)	Notice of filing of oath of office with county clerk						a For county employee or officer:	Retain as part of or as long as personnel records		
Miscellaneous (County Clerk)	Notice of filing of oath of office with county clerk						b For other than county employee or officer:	0		
Mortgage Tax	Statement of County Clerk's expenses	filed with mortgage tax report, including all attachments:	7 years							
Mortgage Tax	Report of audit of mortgage tax recording procedure	performed by New York state department or agency:	PERMANENT							
Mortgage Tax	Certified mortgage tax refund or adjustment orders	issued by State Department of Taxation and Finance (formerly State Tax Commission):	7 years							
Mortgage Tax	Statements, affidavits, and appraisals	used to determine or revise mortgage tax, including but not limited to: indeterminant mortgage appraisal, and related records; statement of maximum amount secured by mortgage; statement of advance under a corporate trust or prior advance mortgage; statement of amount borrowed by corporations against mortgage; and facts on which exemption is claimed for supplemental mortgages, condominium credit, or other exclusions, exemptions or credits:	15 years or 0 after discharge of mortgage, whichever is longer	When supporting documents, such as affidavits, are incorporated as part of, and thus indistinguishable from, the mortgage document, then the permanent retention of item no. 309 applies.						
Mortgage Tax	Mortgage tax distribution sheets	showing distribution of mortgage tax funds among tax districts:	7 years							
Mortgage Tax	Request for apportionment	by mortgage tax recording officer to State Department of Taxation and Finance (formerly State Tax Commission):	7 years							
Mortgage Tax	Certificate of valuation	regarding apportionment of mortgage tax:	7 years							
Mortgage Tax	Assessors' appraisal	for apportionment of mortgage tax:	7 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Mortgage Tax	Certificate of determination and apportionment of mortgage tax	issued by State Department of Taxation and Finance (formerly State Tax Commission):	7 years							
Real Property	Records and index documenting the official acquisition, sale, transfer or mortgage of public or private real property:		PERMANENT							
Real Property	Official maps, surveys and reports	on boundaries recording the location of public or private real property:	PERMANENT							
Real Property	Receipt	or other record of delivery of instruments to owner or designated representative after recording:	3 years							
Real Property	Real estate transfer tax report	and related records					a Copy of Combined Real Estate Transfer Tax Return and Credit Line Mortgage Certificate:	0 after no longer needed		
Real Property	Real estate transfer tax report	and related records					b All other records:	6 years		
Real Property	Title searches conducted by County Clerk:		PERMANENT							
	Executive, Supervisor, Mayor, Superintendent, Administrator, Manager, County Sheriff, or Police Chief's office files,	including but not limited to correspondence, memoranda, calendars and schedules, reports, studies, publicity items, contracts, and other legal documents		Executives are the chief executive officer of local governments, including but not limited to city or village mayors, town supervisors, county executives, superintendents, managers, or administrators.			a Where file documents a significant subject, or major policy-making or program-development process:	PERMANENT		
	Executive, Supervisor, Mayor, Superintendent, Administrator, Manager, County Sheriff, or Police Chief's office files,	including but not limited to correspondence, memoranda, calendars and schedules, reports, studies, publicity items, contracts, and other legal documents		Executives are the chief executive officer of local governments, including but not limited to city or village mayors, town supervisors, county executives, superintendents, managers, or administrators.			b Where file documents routine activity:	6 years		
	Master summary record	(log or register), of license and permit application and issuance:	6 years after all licenses or permits listed on records are invalid							
	Licensing file for person to perform contracting trade	(general contracting, plumbing, electrical or similar work) in municipality					a Original application for license, including performance bond and other records:	6 years after expiration or denial of license		
	Licensing file for person to perform contracting trade	(general contracting, plumbing, electrical or similar work) in municipality					b Renewal records, including renewal application, performance bond and other records, when a fee is charged:	6 years after expiration or denial of renewal license		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Licensing file for person to perform contracting trade	(general contracting, plumbing, electrical or similar work) in municipality					Renewal records, including renewal application, performance bond and other records, when no fee is charged:	1 year after expiration or denial of renewal license		
	Business or special event license or permit issuance records,	covering home improvement, apartment rentals, vendors, peddlers, trash collectors, junk dealers, flea markets, going-out-of-business sales, yard or garage sales, posting notices, signs, entertainment and recreational events, explosives license records (predating 1971), tree-cutting, waiver of open-container law, or other local legislation, and similar permit applications		Junk yard license records are covered under item no. 400 in the Environmental Health section.			All records in file, excluding detailed inventories submitted for "closing out" or "defunct business" sales:	3 years after expiration of license or denial of application		
	Business or special event license or permit issuance records,	covering home improvement, apartment rentals, vendors, peddlers, trash collectors, junk dealers, flea markets, going-out-of-business sales, yard or garage sales, posting notices, signs, entertainment and recreational events, explosives license records (predating 1971), tree-cutting, waiver of open-container law, or other local legislation, and similar permit applications		Junk yard license records are covered under item no. 400 in the Environmental Health section.			Detailed inventories submitted for "closing out" or "defunct business" sales:	1 year		
	Trailer, mobile home or trailer park permit records,	including application, site plan, copy of permit, copies of environmental health records, fire and building inspection reports:	6 years after denial of application, or expiration or renewal of license							
	Subject matter list	of records held by local government, required under Freedom of Information Law:	6 months after superseded							
	Listing of officers or employees	of local government required by Freedom of Information Law:	6 months after superseded							
	Register or list	of applicants seeking access to public records:	6 months							
	Freedom of Information records request file			Requests for access to special education records, maintained pursuant to Section 300.563 of 34 CFR, are covered by item no. 946, found in the School District and BOCES section, Special Education subsection.			Request for access to public records, when request is granted:	6 months		
	Freedom of Information records request file			Requests for access to special education records, maintained pursuant to Section 300.563 of 34 CFR, are covered by item no. 946, found in the School District and BOCES section, Special Education subsection.			Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision:	6 months after final determination		
	Freedom of Information records request file			Requests for access to special education records, maintained pursuant to Section 300.563 of 34 CFR, are covered by item no. 946, found in the School District and BOCES section, Special Education subsection.			Certificate that record does not exist or cannot be found:	6 months		
	Freedom of Information records exemption file	for pistol license holders per the NYSAFE Act, as well as other possible exemptions, including application and copy of approval or denial notices:	3 years after exemption is null and void	Exemptions under the Family Educational Rights and Privacy Act (FERPA) are covered by item nos. 209 in the Community College section and 972 in the School District and BOCES section, Student Records subsection.						

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
General Administration	Data processing policies,	records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership:	3 years after policy is withdrawn, revised, updated, or superseded							
General Administration	Information technology subject files, correspondence, memoranda, reports, publications, and related records	used to support the administration of information technology services. This item does not include local government information technology plans, long-range or strategic plans, IT policies, records that document fiscal transactions, and any records covered by other items in this schedule:	0 after superseded or obsolete							
General Administration	Information technology and data processing services plans,	local government IT plans, data processing services plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas					a Master copy of plan and essential background documentation:	Retain for 3 planning cycles after the plan is completed, superseded, or revised	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Some of these records may document the development and advancement of technology used by the local government. Contact the State Archives for additional advice in this area.	
General Administration	Information technology and data processing services plans,	local government IT plans, data processing services plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas					b Copies, drafts, and routine material:	0 after no longer needed		
Systems and Application Development	Application development project files,	records created and used in the development, redesign, or modification of an automated system or application including project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence. This item does not cover system or application documentation (see item nos. 767 and 768):	3 years after completion of project	In some circumstances, local governments may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see item nos. 767 and 768).						
Systems and Application Development	Information systems specifications,	user and operational documentation describing how an application system operates from a functional user and data processing point of view including records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or workflow records, system specifications, and input and output specifications. This item does not cover data documentation and other records used to explain the meaning, purpose, or origin of data (see item no. 768):	3 years after discontinuance of system, but not before system data is destroyed or transferred to new operating environment							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Systems and Application Development	Data documentation,	records generally created during development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements (sometimes known as metadata):	3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format	In some cases, local governments will retain data for extended periods, sometimes offline. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are appraised as archival. Application design documentation and user guides covered by item no. 767 may also serve to explain how data was interpreted and used. Contact the State Archives for additional advice in this area.						
Systems and Application Development	Program listing/source code,	automated program code which generates the machine-language instructions used to operate an automated information system:	0 after code is superseded or replaced, or after automated system is no longer in use or has been deleted, but not before any audit or legal needs have been met	This item coincides with item no. 776, system backup files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted data processing practice (see item no. 776).						
Systems and Application Development	Technical program documentation,	paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs:	1 year after replacement, modification, or related programs cease to be used	Local governments may consider retaining documentation for critical systems for a longer period. Contact the State Archives for additional advice in this area.						
Systems and Application Development	Test database/files,	routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system:	0 after no longer needed, but not before user accepts and management reviews and approves test results							
Network and Technology Services	Data processing operating procedures,	records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation:	3 years after procedure is withdrawn, revised, updated, or superseded							
Network and Technology Services	Hardware documentation,	records documenting the use, operation, and maintenance of a local government's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems:	0 after the local government no longer uses related hardware and all data is transferred to and made useable in new hardware environment	Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis, using item no. 18 in the General section.						
Network and Technology Services	Data migration, system upgrade, and hardware conversion records,	including those relating to the operational aspects of the replacement of equipment or the upgrading of computer operating systems, as well as the migration of data between operating systems. Records include schedules and logs, tracking and data migration tests, notes, correspondence, conversion and implementation plans, and related records generated by the operating system software, application server software, and web server software:	1 year after successful migration, update or conversion							
Network and Technology Services	Disaster preparedness and recovery plans,	records related to the protection and reestablishment of data processing services and equipment in case of a disaster, including disaster recovery manuals, business continuity plans, inventories, procedure plans, contact lists, and other records:	0 after superseded by revised plan	The State Archives recommends that local governments store disaster preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.						

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Network and Technology Services	System backup files,	copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction		Backup cycles may vary from daily to weekly or other time periods. Backups used to document transactions or retained for purposes other than system security are covered by the relevant sections of this Schedule. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail, and annual system backups are retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases. These records should be disposed using items from the Fiscal section of this Schedule. It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.			a. Full backup files:		0 after 2 system backup cycles and is verified as successful or when no longer needed for system restoration, whichever is later	
Network and Technology Services	System backup files,	copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction		Backup cycles may vary from daily to weekly or other time periods. Backups used to document transactions or retained for purposes other than system security are covered by the relevant sections of this Schedule. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail, and annual system backups are retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases. These records should be disposed using items from the Fiscal section of this Schedule. It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.			b. Incremental backup files:		0 when superseded by a full backup or when no longer needed for system restoration, whichever is later	
Network and Technology Services	User authorization/access records,	created to control or monitor individual access to a system, system data, the Internet, and email system, including but not limited to user account records, password files, user acknowledgements of policies, and authorization documentation:	0 after the individual no longer has access to the system, but not before audit requirements for the records modified by that individual have been met	System users access records and computer usage records may also serve some security purposes.						
Network and Technology Services	Computer system security records,	records used to control or monitor the security of a system and its data, including but not limited to cyber-incident response and investigation records, intrusion detection logs, firewall logs, logs of unauthorized access, and other security logs:	6 years after date of last entry, or until review of logs is complete, whichever occurs first	Appraise these records for historical significance prior to disposition. Records documenting significant security breaches, such as ransomware attacks or other large-scale emergencies, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.						
Network and Technology Services	System/network usage files,	electronic files or automated logs created to monitor computer system usage including but not limited to login files, system usage files, charge-back files, data entry logs, and records of individual computer program usage:	0 after 2 system backup cycles							
Network and Technology Services	Summary system/network usage reports,	summary reports and other paper records created to document computer usage for reporting or cost recovery purposes:	1 fiscal year after creation							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Network and Technology Services	Computer run scheduling records,	records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run:	0 after end of current fiscal year							
Network and Technology Services	Input/source documents,	copies of records or forms designed and used solely for data input and control:	0 after all data has been entered into the system and, if required, verified	Input records retained for fiscal audit or legal purposes, or, containing information needed by a local government, are covered by the relevant section of this schedule. Input records that document valid transactions are covered by item no. 783. Input records which serve a fiscal audit purpose may be covered by items in the Fiscal section of this schedule.						
Network and Technology Services	Work/intermediate files,	records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, export, import, manipulate, or sort data within an automated system, including "macro" or "startup" file or other electronic record created to preserve a combination of data elements and/or method of displaying these data elements when all transactions are captured in a master file, central file, transaction file, or database, and the file is not retained to provide an audit trail:	0 after the transaction is completed, except retain as long as principal records for which the file is created are retained when the electronic file is needed to recreate or document a transaction							
Network and Technology Services	Processed transaction files,	records used to update and/or document a transaction in database or master file including valid transaction files, database management system (DBMS) log, update files, and similar records, and not retained to document a program unit action or for fiscal audit purposes:	0 after 2 database/master file backup cycles	Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, are covered by the relevant sections of this schedule.						
Network and Technology Services	Print files	(not used to document a transaction), source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, registers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions:	0 after all print runs are completed, output verified (if required), and local government has no need to reproduce the report	Print files needed for fiscal audits or retained to document transactions are covered by the relevant sections of this schedule.						
Network and Technology Services	Audit trail files,	data generated during the creation of a master file or database used to validate a master file or database during a processing cycle:	0 after 2 database/master file backup cycles							
Network and Technology Services	Information technology unit's copies of output reports,	data processing unit's copy of output reports produced for client program units:	0 after output is distributed							
Network and Technology Services	Summary or extracted data files,	summary or aggregate data from a master file or database, including "snapshots" of data, created solely to distribute data to individuals or program units for reference and use, but not altered or augmented to support program-specific needs:	0 after data is distributed	Appraise these records for historical significance prior to disposition. Some snapshots of data, created and maintained as either electronic files saved to disk, tape or diskette, or as hard-copy output such as printed maps, or in both formats, may warrant longer retention. Contact the State Archives for additional advice on the creation and maintenance of these records.						

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Network and Technology Services	Finding aids (indexes) or tracking systems,	electronic indexes, lists, registers, and other finding aids used only to provide access to the hard copy and electronic records in the custody of the information technology unit:	0 after the related hard copy or electronic records have been destroyed	Finding aids and tracking systems of program units other than data processing units are covered by the relevant sections of this schedule and are frequently covered by the same item covering related program records.						
Network and Technology Services	Automated tape library system files,	automated records used to control the location, maintenance, and disposition of magnetic media in a tape library:	0 after related records or media are destroyed or withdrawn from the tape library							
Network and Technology Services	Reports on the destruction of files ("scratch reports"),	records containing information on the destruction of files stored on electronic media in a tape library:	0 after superseded or (if required) management review and approval							
Network and Technology Services	Tape library control records,	records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs:	0 after superseded or related media are destroyed or withdrawn from the tape library							
Network and Technology Services	Network site/equipment support files,	records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda					a Site visit reports, trouble reports, and related correspondence:	3 years after creation		
Network and Technology Services	Network site/equipment support files,	records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda					b Service histories and other summary records:	0 after the related equipment or site is no longer in use		
Network and Technology Services	Network site/equipment support files,	records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda					c Routine records that do not contain substantial information on the maintenance history or site:	1 year		
Network and Technology Services	Inventories of network circuits/connections	containing information on network circuits used by the local government including circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit:	0 after the circuit is no longer used by the local government							
Network and Technology Services	Network or circuit installation and service files,	copies of requests by local governments to service provider for data communication service, installation, or repair and response to the request including work orders, correspondence, memoranda, work schedules, and copies of building or circuitry diagrams:	1 year after request is filled or repairs are made							
Network and Technology Services	Network usage files,	electronic files or automated logs created to monitor network usage including but not limited to login files and system usage files:	0 after 3 system backup cycles after creation							
Network and Technology Services	Network usage reports,	summary reports and other records created to document computer usage for reporting or other purposes:	1 fiscal year after creation							
Network and Technology Services	Network implementation project files,	local government records used to plan and implement a network including reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams:	0 after superseded							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Network and Technology Services	Security breach notifications	that disclose to residents when their computerized private information was or may have been acquired by a person without valid authorization, including notifications to affected persons and to designated state agencies (if required), logs of notifications, and related records:	6 years after notification							
Data Administration	Data/database dictionary records,	usually in an automated system, used to manage data in a local government's information systems including information on data element definitions, data structures or file layout, code tables, and other data attribute information or records that explain the meaning, purpose, logical relationships, ownership, use, or origin of data:	0 after discontinuance or modification of the related application but not before the application's data is destroyed or transferred to a new structure							
Data Administration	Data/database dictionary reports,	periodic printouts from a data/database dictionary system including data element attribute reports, database schema, and related records used for reference purposes:	0 after superseded or obsolete	The official copy of essential data documentation is covered by either item no. 768 or no. 792.						
Data Administration	Regional information center data,	received from school districts and other BOCES, processed and forwarded to State Education Department (SED), and related records					a Actual data, both as received and as processed:	0 after no longer needed	For schools or districts placed "under corrective action" or "under registration review" by SED, this data may need to be retained until these designations are canceled by SED and no longer apply.	
Data Administration	Regional information center data,	received from school districts and other BOCES, processed and forwarded to State Education Department (SED), and related records					b Background and supplemental information on data processing for school districts and other BOCES, including but not limited to data correction and verification records and correspondence:	6 years		
Information Technology Support	Site/equipment support files,	records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda					a Site visit reports, problem and equipment service reports, and routine correspondence and memoranda:	3 years after creation		
Information Technology Support	Site/equipment support files,	records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda					b Service histories and other summary records:	0 after the related equipment is no longer in use		
Information Technology Support	Help desk telephone logs and reports,	records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes:	1 year after creation							
Information Technology Support	Hardware and software review files,	records and reference files related to the review and recommendations for software for local government use including vendor information, manuals, software reviews, and related material:	0 after obsolete							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Internet Services	Internet services logs,	electronic files or automated logs created to monitor access and use of local government services provided via the Internet, including, but not limited to, services provided via FTP (file transfer protocol), or website, or Telnet services:	0 after 2 backup cycles, but not before relevant audit and documentation requirements have been met							
Internet Services	Employee Internet use logs,	electronic files or automated logs created to monitor and control use of the Internet by employees, including but not limited to proxy server logs:	0 after 2 backup cycles, but not before any appropriate review and verification							
Records Relating to Research		Grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; research protocols; consent forms; medical charts; and Human Subject files	7 Years after completion of the research; or 1 year after either the youngest human subject attains age 21 or the date of the last disclosure of identifiable health information from Research Records, if disclosures continue after all subjects have completed the Study, whichever is longer.	All records must be accessible for inspection and copying at reasonable times and in a reasonable manner						
Records of Research Misconduct Proceedings		Records relevant to the proceeding, excluding duplicate records; Documentation of the determination of irrelevant or duplicate records; The inquiry report and final documents (not drafts) produced in the course of preparing that report, including the documentation of any decision not to investigate; The investigation report and all records (other than drafts of the report) in support of that report, including the recordings or transcriptions of each interview conducted; The complete record of any institutional appeal.	Unless custody has been transferred to HHS or Office of Research Integrity has advised the institution in writing that it no longer needs to retain the records, these records must be retained for 7 Years after completion of the proceeding or the completion of any Public Health Service proceeding involving the research misconduct allegation.							
Institutional Review Board ("IRB") Records		Copies of all research proposals reviewed, scientific evaluations, if any, that accompany the proposals, approved sample consent documents, progress reports submitted by investigators, and reports of injuries to subjects; Minutes of IRB meetings indicating attendance at meetings, actions taken by the IRB, the vote on these actions including the number of members voting for, against, and abstaining, the basis for requiring changes in or disapproving research, and a written summary of the discussion of controverted issues and their resolution; Records of continuing review activities; Copies of all correspondence between the IRB and the investigators; A list of IRB members; Written procedures for the IRB; Statements	3 Years after completion of the research. All records must be accessible for inspection and copying at reasonable times and in a reasonable manner							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Investigational New Drug Application		Records of the disposition of the drug, including dates, quantity, and use by subjects; Case histories which include the case report forms and supporting data (signed and dated consent forms and medical records such as progress notes of the physician, the individual's hospital chart(s), and the nurses' notes).								
Financial Records of Investigators		Pertaining to the financial interests of clinical investigators who conducted studies on which a marketing application regulated by the FDA relies: Complete records showing any financial interest or arrangement paid to clinical investigators by the sponsor of the covered study; Complete records showing significant payments made by the sponsor of the covered clinical study to the clinical investigator; Complete records showing any financial interests held by clinical investigators.	2 Years after the date of approval of the application							
Financial Records of Investigators		In connection with proposed or awarded Public Health Service research funding through grant or cooperative agreement: Records relating to all investigator disclosures of financial interests and HHC's review of, and response to, such disclosures (whether or not a disclosure resulted in HHC's determination of a financial conflict of interest), and all actions under HHC's policy or retrospective review.	The later of 3 Years from the date of final payment or, where applicable, for the time periods set forth for circumstances described in 45 C.F.R. parts 75.361 (b) and 92.42 (b).							
Financial Records of Investigators		In connection with proposed or awarded Public Health Service research funding through contract: Records relating to all investigator disclosures of financial interests and HHC's review of, and response to, such disclosures (whether or not a disclosure resulted in HHC's determination of a financial conflict of interest), and all actions under HHC's policy or retrospective review.	The later of 3 Years from the date of final payment or, where applicable, for the time periods set forth for circumstances described in 48 C.F.R. part 4, subpart 4.7.							
Federal Award Recipient Records		Financial records, supporting documents, statistical records, and all other records pertinent to an award	10 Years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency.							
Investigator Records For Significant Risk Device Studies		All correspondence including required reports.	2 Years after the date the investigation is completed or terminated or the records are no longer required to support a premarket approval ("PMA") or product development protocol ("PDP"), whichever date is later.							

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Investigator Records For Significant Risk Device Studies		Records of receipt, use, or disposition of the investigational device (type and quality of device; date of receipt; batch number or code; name of person that received, used or disposed of each device; why and how many units of the device have been returned to the sponsor, repaired, or otherwise disposed of).	2 Years after the date the investigation is completed or terminated or the records are no longer required to support a premarket approval ("PMA") or product development protocol ("PDP"), whichever date is later.							
Investigator Records For Significant Risk Device Studies		Records of each subject's case history and exposure to the device which must include: signed and dated consent forms; condition of each subject upon entering the study; relevant previous medical history; record of the exposure to the investigational device, including the date and time of each use and any other therapy; observations of adverse device effects; medical records (physician and nurse progress notes, hospital charts, etc.); results of all diagnostic tests; case report forms; any other supporting data.	2 Years after the date the investigation is completed or terminated or the records are no longer required to support a premarket approval ("PMA") or product development protocol ("PDP"), whichever date is later.							
Investigator Records For Significant Risk Device Studies		The protocol and documentation (date and reason) for each deviation from the protocol.	2 Years after the date the investigation is completed or terminated or the records are no longer required to support a premarket approval ("PMA") or product development protocol ("PDP"), whichever date is later.							
Investigator Records for Nonsignificant Risk Device Studies		Each subject's case history and exposure to the device including case report forms and supporting data such as signed and dated consent forms and medical records (progress notes of the physician, the individual's hospital chart(s), and the nurses' notes); If no informed consent is obtained, a licensed physician must write a concurrence and a brief description of the circumstances justifying the failure to obtain informed consent.	2 Years after the date the investigation is completed or terminated or the records are no longer required to support a PMA or PDP, whichever date is later.							
Sponsor Records For Significant Risk Device Studies		All correspondence including required reports; Records of shipment of the device (name and address of the consignee; and type and quality of the device, date of shipment, and batch number or code); Records of disposition of the device (batch number or code of any devices returned to the sponsor, repaired, or disposed of in other ways; and reasons for and the method of disposal); Signed investigator agreements including financial disclosure information; Records concerning complaints and adverse device effects whether anticipated or not.	2 Years after the date the investigation is completed or terminated or the records are no longer required to support a PMA or PDP, whichever date is later.							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Sponsor Records For Non Significant Risk Device Studies		The name and intended use of the device; The objectives of the investigation; A brief explanation of why the device is not a significant risk device; The name and address of each investigator; The name and address of each IRB; A statement of the extent to which the good manufacturing practices will be followed in manufacturing the device.	2 Years after the date the investigation is completed or terminated or the records are no longer required to support a PMA or PDP, whichever date is later							
Quality Assurance Records		Documenting the steps that were taken to assess the data integrity of clinical research records.	For at least 2 years following the date on which the study is completed, terminated or discontinued.							
Documentation Records, Raw Data and Specimens		Any material derived from a test system for examination or analysis pertaining to a nonclinical laboratory study. Additionally, any laboratory worksheets, records, memoranda, notes, or exact copies thereof, that are the result of original observations and activities of a nonclinical laboratory student and are necessary for the reconstruction and evaluation of the report.	Whichever is shortest: (1) a period of at least 2 Years following the date on which an application for a research or marketing permit, in support of which the results of the nonclinical laboratory study were submitted, is approved by the FDA; (2) at least 5 Years following the date on which the results of the nonclinical laboratory study are submitted in support of an application of a research or marketing permit; or (3) when the study does not result in submission in support of an application for a research or marketing permit, at least 2 Years following the date on which the study is completed, terminated, or discontinued							
Samples of Test and Reference Items and Specimens		A sample from each batch of test items retained and archived for analytical purposes for all studies except short term studies.	Specimens pertaining to a non clinical laboratory shall be retained in the archive(s) for which ever of the following periods is shortest: (1) A period of at least 2 years following the date on which an application for a research or marketing permit, in support of which the results of the non clinical laboratory study were submitted, is approved by the FDA; (2) A period of at least 5 years following the date on which the results of the non clinical laboratory study are submitted to the FDA in support of an application for a research or marketing permit; or (3) Where the non clinical laboratory study does not result in the submission of the study in support of an application for a reseach or marketing permit, a period of at least 2 years following the date on which the study is completed. terminated.							
	Individual complaint or problem case file	of human rights, economic opportunity, equal employment, community relations or similar function, excluding individual case summary record		Agencies may wish to retain records covered by parts "a" and "b" of this item beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints. For records of affirmative action cases involving local government employees, see item no. 643c in the Personnel/Civil Service section, Personnel subsection.		a	For case handled at local level (includes cases referred to New York State Division of Human Rights but returned to local agency for adjudication):	3 years after last entry	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of significant cases handled at the local level. Contact the State Archives for additional advice in this area.	

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Individual complaint or problem case file	of human rights, economic opportunity, equal employment, community relations or similar function, excluding individual case summary record		Agencies may wish to retain records covered by parts "a" and "b" of this item beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints. For records of affirmative action cases involving local government employees, see item no. 643c in the Personnel/Civil Service section, Personnel subsection.			For case referred to New York State Division of Human Rights:	2 years after last entry		
	Summary record for individual case and/or master summary record of all cases:		PERMANENT							
	Periodic statistical or narrative activity or progress reports	on human rights or economic opportunity office activities:	3 years	Appraise these records for historical significance prior to disposition. Periodic reports containing summary information not found in annual reports may have continuing value for historical or other research and should be retained permanently.						
	Insurance (including self-insurance) case records, except	workers' compensation case record, including but not limited to notice of claim, copies of filed court documents, accident reports, medical reports, motor vehicle reports, appraisal report, copy of check, correspondence, and other supporting documentation:	6 years after claim closed, but not until any minor reaches age 21, whichever is later	The local government may wish to retain the records longer for convenience of reference. Proof of liability insurance coverage must be retained longer to cover claims relating to exposure to asbestos and other toxic substances. For insurance claims relating to exposure to asbestos and other toxic substances and maintained as part of an employer's medical program. Consult your counsel or attorney to ensure that insurance policies and other appropriate documentation are retained as long as needed.						
	Workers' compensation case records (including Volunteer Firefighters Benefit Law)						a If claim allowed:	18 years after injury or illness, but not less than 8 years after last payment		
	Workers' compensation case records (including Volunteer Firefighters Benefit Law)						b If claim disallowed after trial, or case otherwise disposed of without an award after the parties have been given due notice:	7 years after injury or illness except the employee injury record must be retained for 18 years after date of accident or injury	The employee injury record must be retained for 18 years after date of accident or injury, as required by Section 110, Workers' Compensation Law, even for disallowed claims. See item no. 660 in the Personnel/Civil Service section.	
	Workers' compensation case records (including Volunteer Firefighters Benefit Law)						c Financial records, including checks or payment confirmation notices:	6 years after payment		
	Master summary record	(log or register), of all (including workers' compensation) claims:	0 after all claims and/or cases listed in master summary record have been disposed of							

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	Insurance policy,	including but not limited to those covering fire, theft, property damage, personal injury liability, general liability, automobile, cyber liability, insurance of life or property, when no outstanding claims are involved:	6 years after expiration							
	Workers' compensation and employer's liability insurance policy,	when no outstanding claims are involved:	18 years after expiration							
	Title insurance policy,	when no outstanding claims are involved:	20 years after expiration							
	Waiver of liability or certificate of insurance	certifying as to name of insured, type of insurance, limits of liability, date of expiration and policy number, when no outstanding claim is involved, except a certificate of insurance certifying as to a security bond or undertaking:	6 years after expiration	For the exceptions mentioned above, see item no. 655 in the Personnel/Civil Service section, item no. 116 in the Building and Property Regulation section, item no. 479 in the Fiscal section, item no. 457 in the Environmental Health section and item no. 806 in the Public Property and Equipment section.						
	Insurance appraisal and/or survey:		0 after superseded or obsolete							
Personnel	Personnel records of local government employees	(includes volunteers, interns, trustees, and board members)		The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for service time verification for retirement purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are maintaining the necessary information.			Master summary record from personnel case file, including but not limited to age, dates of employment, job titles and civil service status:	PERMANENT		
Personnel	Personnel records of local government employees	(includes volunteers, interns, trustees, and board members)		The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for service time verification for retirement purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are maintaining the necessary information.			Personnel case file materials, except summary information record and teachers' records, and including but not limited to application for employment, resume, results of criminal background check, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, and correspondence:	6 years after termination of employment or appointment	Reports of personnel changes may be included in personnel case files, in which case they are subject to the indicated minimum retention period. Other copies of these reports are maintained by other offices and are covered by item no. 688.	Records relating to the employee's declaration of intention to decline membership in the retirement system are covered by item no. 645 in the Fiscal section.
Personnel	Personnel records of local government employees	(includes volunteers, interns, trustees, and board members)		The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for service time verification for retirement purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are maintaining the necessary information.			Contract worker background check records for those working in local government facilities, including checks of criminal history backgrounds, driver's licenses, employment, and references:	6 years after contract or worker is terminated, whichever is sooner		

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Personnel	Personnel records of local government employees	(includes volunteers, interns, trustees, and board members)		The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for service time verification for retirement purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are maintaining the necessary information.			e Employment eligibility verification records (I-9 form):	3 years from the date of the hire or 1 year after termination of employment, whichever is later		
Personnel	Personnel records of local government employees	(includes volunteers, interns, trustees, and board members)		The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for service time verification for retirement purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are maintaining the necessary information.			f Security guard application records pursuant to Section 89-g(7) of General Business Law, including copy of application for a registration card, proof of due diligence to verify the information therein contained, photograph, and training records:	1 year after termination of employment	All other security guard personnel records are covered by other subitems.	
Personnel	Investigative records and disciplinary proceedings,	including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or resignation, letter of reinstatement, record of appeal procedure, and correspondence:	3 years after final decision rendered	Records covered by this item may be destroyed before this retention period has been reached, if specified either in a union contract or settlement between the employer and employee.	Affirmative action and related complaints may be covered by item no. 643c.					
Personnel	Employee's time records	covering leave, absences, hours worked and scheduling, and including but not limited to employee's time cards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay:	6 years	Local governments may wish to retain these records longer, perhaps up to 6 years after employee termination, if they are used for that extended period to document time accumulation or usage, disciplinary actions, or for workers' compensation claim purposes. Local governments should note, however, that other records might serve the same purposes, including item no. 636 from the Personnel/Civil Service section, item nos. 524a, 524b and 534. from the Fiscal section, Payroll subsection, and item no. 577 from the Insurance section.						
Personnel	Annual or other periodic financial or ethics disclosure statements,	filed by local government employees or officials, pursuant to Section 812.1 (a), General Municipal Law, or local law:	7 years							
Personnel	Employee training history records	documenting employee continuing education, training and development, including employee identification, training received, dates of training, and related records:	6 years after termination of employment, but no less than 7 years for records documenting professional development programs completed by employees in positions requiring teaching certification	Additional records providing detailed information on training history can be destroyed when no longer needed, provided that summary records are retained for the indicated retention period. For retention requirements for specific types of employee training history records, see specific items in this Schedule.	Detailed fiscal records, such as those covering payment or reimbursement for tuition or other training expenses, are covered by items in the Fiscal section.					
Personnel	Administrative organization chart and related records	showing administrative and supervisory organization:	0 after superseded or obsolete	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Contact the State Archives for additional advice.						
Personnel	Identification card records,	when card is issued to local public employee:	6 months after becoming invalid							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Personnel	Equal employment opportunity report and related records					a	Annual, long-term or special (narrative or statistical) reports, goals and achievements:	PERMANENT		
Personnel	Equal employment opportunity report and related records					b	Periodic reports, statistics and other records used in compiling annual, long-term or special (narrative or statistical) reports, goals and achievements:	3 years		
Personnel	Equal employment opportunity report and related records					c	Affirmative action and related complaint investigation records:	4 years after date of final determination	Agencies may wish to retain records covered by part "c" of this item beyond the minimum retention period for use in establishing patterns of complaints and for investigating and resolving future complaints.	
Personnel	Family and Medical Leave Act (FMLA) compliance records,	including but not limited to employee notice of leave, dates and hours of FMLA leave, copy of employer notices, documents describing employee benefits and premium payments, and records of disputes:	3 years	Additional records required under FMLA, including basic payroll and data identifying the employee's compensation, are covered under items in the Fiscal section, Payroll subsection. Records relating to medical certifications, re-certifications or medical histories of employees or employees' family members, created for purposes of FMLA, are required to be maintained as medical records separate from personnel files and are covered under item no. 662b.						
Personnel	Employee benefit records	including health, life, and disability insurance and retirement for employee with or without dependent survivor (including retiree, volunteer, or intern)				a	Initial application and any subsequent updates and related records:	6 years after termination of employee's, dependent survivor's, or beneficiary's coverage, whichever is later		
Personnel	Employee benefit records	including health, life, and disability insurance and retirement for employee with or without dependent survivor (including retiree, volunteer, or intern)				b	Beneficiary designation or dependent enrollment records:	6 years after superseded		
Personnel	Employee benefit records	including health, life, and disability insurance and retirement for employee with or without dependent survivor (including retiree, volunteer, or intern)				c	Claim for benefits (copy, where original is submitted directly by employee):	1 year		
Personnel	Employee benefit records	including health, life, and disability insurance and retirement for employee with or without dependent survivor (including retiree, volunteer, or intern)				d	Insurance coverage reports, investment statements, and account balances:	6 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Personnel	Employee benefit records	including health, life, and disability insurance and retirement for employee with or without dependent survivor (including retiree, volunteer, or intern)					Declination statement filed by employee, including copy of written notification of options provided employee by local government:	6 years after separation from service	Local governments may wish to retain these records that relate to retirement for the life of the employee. State legislation in effect between 1993 and 1996 allowed for retroactive retirement system membership, for employees who were not previously offered membership, and the possibility exists that similar legislation may be passed into law in the future. If this occurs, these declarations of non-membership may be valuable for local governments to document intentions of present or former employees.	
Personnel	Employee benefit records	including health, life, and disability insurance and retirement for employee with or without dependent survivor (including retiree, volunteer, or intern)					Health insurance buy-out program records, including approval documentation, annual proof of alternate health insurance coverage, and annual waiver forms:	1 year	NOTE: Excludes original opt-out or declination application which is covered by subitem b. above and incentive payment records which are covered by item no. 647.	
Personnel	Employee benefit records	including health, life, and disability insurance and retirement for employee with or without dependent survivor (including retiree, volunteer, or intern)					Consolidated Omnibus Budget Reconciliation Act (COBRA) compliance records, including but not limited to correspondence, employee notice of qualifying event, records documenting continuation or termination of coverage, and copy of employer notices:	6 years		
Personnel	Unemployment insurance records						Claim filed by employee, when claim is either approved or disqualified; or claim payment reports:	6 years after final payment		
Personnel	Retirement incentive records documenting employees who elect for early retirement under government-offered incentive programs,	including agreements with employees for lump sum, monthly, or annual payments; records of actual payments; and related correspondence:	6 years							
Personnel	Labor-management meeting records,	including minutes of meeting, agenda, reports, and correspondence					a Minutes and reports:	PERMANENT		
Personnel	Labor-management meeting records,	including minutes of meeting, agenda, reports, and correspondence					b Meeting agenda, correspondence, and other records:	6 years		
Personnel	Public employee contract negotiations records,	including but not limited to proposals, summary of proceedings, copies of salary schedules and contracts, Public Employment Relations Board (PERB) fact-finding report, and correspondence					a All documentation in record, except routine correspondence, routine memoranda and drafts:	PERMANENT		

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Personnel	Public employee contract negotiations records,	including but not limited to proposals, summary of proceedings, copies of salary schedules and contracts, Public Employment Relations Board (PERB) fact-finding report, and correspondence					b Routine correspondence, routine memoranda and drafts:	1 year		
Personnel	Job action records	documenting strikes, work stoppages, informational picketing and other job actions conducted by local government employees, including but not limited to correspondence and memoranda, press clippings, copies of notices of violation, detailed and summary records of employees' participation, and penalties levied upon participants					a All documentation in record, except detailed listings of all employees present at various events and other records lacking substantive informational value:	PERMANENT		
Personnel	Job action records	documenting strikes, work stoppages, informational picketing and other job actions conducted by local government employees, including but not limited to correspondence and memoranda, press clippings, copies of notices of violation, detailed and summary records of employees' participation, and penalties levied upon participants					b Detailed listings of all employees present at various events, and other records lacking substantive informational value:	6 years		
Personnel	Public employee grievance records,	including but not limited to grievance, investigative records, hearing proceedings, decision rendered by employer, employee appeal, records of arbitration procedure, final decision, and correspondence:	3 years after grievance is resolved							
Personnel	Mini-PERB application and petition records filed with Public Employment Relations Board (PERB)	for approval and of local government provisions and procedures pursuant to Section 212, Civil Service Law, including but not limited to application for approval of procedures, petition to review implementation of procedures, correspondence, memoranda, copies of local laws and public notices, and final determination by PERB:	PERMANENT							
Personnel	Mini-PERB case files,	including but not limited to charges, notice of conference and hearing, correspondence, briefs, transcripts, exhibits, withdrawal or stipulation of settlement requests, and final decision					a-d General representation case files, Declaratory ruling case files, Interest arbitration case files, Grievance arbitration case files:	PERMANENT		
Personnel	Mini-PERB case files,	including but not limited to charges, notice of conference and hearing, correspondence, briefs, transcripts, exhibits, withdrawal or stipulation of settlement requests, and final decision					e Unit clarification and Management/Confidential (M/C) case files:	8 years after close of case and any appeals completed		
Personnel	Mini-PERB case files,	including but not limited to charges, notice of conference and hearing, correspondence, briefs, transcripts, exhibits, withdrawal or stipulation of settlement requests, and final decision					f Conciliation case files:	9 years after settlement of case		
Personnel	Mini-PERB case files,	including but not limited to charges, notice of conference and hearing, correspondence, briefs, transcripts, exhibits, withdrawal or stipulation of settlement requests, and final decision					g Labor-Management Committee case files:	6 years after discontinuance of involvement with the parties		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Personnel	Toxic substance exposure records (non-medical)					a	Records of exposure or possible exposure of an employee to a toxic substance or other harmful physical agent, including background data to environmental monitoring or measuring, biological monitoring records which are designated as exposure records, material safety data sheets or chemical inventory records indicating use and identity of a toxic substance or harmful physical agent, and related records:	30 years	Environmental monitoring background data may be destroyed after 1 year provided that sampling results, methodology, a description of the analytical method used, and a summary of other background data relevant to the interpretation of results are retained for at least 30 years, as provided in 29CFR 1910.1020 (d-1) (ii-A).	
Personnel	Toxic substance exposure records (non-medical)					b	Lists, or material safety data sheets, of toxic substances present in the workplace and of employees who handle those substances:	40 years after superseded or obsolete		
Personnel	Toxic substance exposure records (non-medical)					d	Training records covering training of individual employee in handling toxic substances:	3 years after separation from service		
Personnel	Toxic substance exposure records (non-medical)					e	Summary records of toxic substance training, including but not limited to minutes of meetings and training sessions and summary descriptions of training given employees:	3 years after separation from service of all employees involved	This retention may be difficult to calculate in instances where a number of employees have attended the same training. Local officials may wish to retain these summary training records for 60 years or another period sufficient to ensure that all concerned employees have separated from service.	
Personnel	Toxic substance exposure records (non-medical)					f	Policy statements and procedures issued by local government relative to dealing with toxic substances:	PERMANENT		
Personnel	Personal surety bond	or undertaking of public official:	20 years after coverage expires							
Personnel	Listing or roster of local government officials or employees,	including names, addresses, titles and other pertinent information:	PERMANENT							
Personnel	Oath of office or record of official signature	of public employees and officers				a	Official copy:	PERMANENT		
Personnel	Annual occupational injuries and illness surveys,	submitted to the New York State Department of Labor under 12NYCRR, 801.41:	1 year after submission to the Department of Labor							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Personnel	Log and summary of occupational injuries and illnesses,	created pursuant to 12NYCRR, 801.33 and 29CFR, 1904.33:	5 years from the end of the calendar year.	If these records are intended to also satisfy the legal requirements of Section 110, Workers' Compensation Law, and no separate records covered by item no. 660, below, are created, then these records must be retained for 18 years after date of injury or illness.						
Personnel	Employee injury record,	covering work-related accident or occupational disease, created pursuant to Section 110, Workers' Compensation Law:	18 years after date of injury or illness							
Personnel	Employee medical records (OHS) concerning exposure to toxic substances or harmful physical agents			This item does not include health insurance records, which are covered by item no. 645 or non-medical toxic substance exposure records, which are covered by item no. 654.			a First aid records of one-time treatment and subsequent observation of minor illnesses and injuries, as defined in 29 CFR 1910.1020 (d-1) (i-B), if made onsite by a non-physician and maintained separately from the employee medical records:	3 years after completion of treatment and subsequent observation		
Personnel	Employee medical records (OHS) concerning exposure to toxic substances or harmful physical agents			This item does not include health insurance records, which are covered by item no. 645 or non-medical toxic substance exposure records, which are covered by item no. 654.			b Medical records, other than those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked one year or longer:	30 years after termination of employment		
Personnel	Employee medical records (OHS) concerning exposure to toxic substances or harmful physical agents			This item does not include health insurance records, which are covered by item no. 645 or non-medical toxic substance exposure records, which are covered by item no. 654.			c Medical records, other than those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked less than one year, provided copies were given to the employee upon termination of employment,	3 years after termination of employment	If copies are not given to the employee upon termination of employment, the retention specified in part "b," above, must be followed.	
Personnel	Employee medical records not related to exposure to toxic substances or harmful physical agents						a Medical records:	3 years after termination of employment		

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Personnel	Employee medical records not related to exposure to toxic substances or harmful physical agents						Records and documents relating to medical certifications, recertifications or medical histories of employees or employees' family members, created for purposes of Family and Medical Leave Act (FMLA):	3 years		
Personnel	Workplace violence prevention program records,	documenting compliance with Section 27-b of Labor Law, including employee complaints, incident reports, inspection reports, and remedial action plans:	5 years	This item excludes school districts and BOCES. Policy and procedure and training records are covered in the General Administration section.						
Personnel	Notification of vacancy in office,	or filling of vacant position:	0 after position filled or abolished							
Personnel	Drivers' license review records for local government officials, employees or volunteers:		5 years							
Personnel	Employee attestation of knowledge of code of ethics, staff policy manual or other official policies or procedures:		3 years after superseded or upon termination of employment							
Personnel	Employee ethics records,	including memoranda to employees of ethics requirements, employee request to engage in outside activities or secondary employment, requests to exempt employees or positions from financial disclosure requirements, and related correspondence, reports and other records:	7 years after end of calendar year or 7 years after records concerning or authorizing ongoing actions have no further validity, whichever is longer							
Personnel	Records documenting the specimen collection and testing process,	for commercial motor vehicle driver alcohol and drug testing					a Official copy of all policies and procedures, including documentation of the random selection process:	PERMANENT		
Personnel	Records documenting the specimen collection and testing process,	for commercial motor vehicle driver alcohol and drug testing					b Quality control records, including calibration records for testing equipment, assuring that testing equipment is operating correctly:	5 years		
Personnel	Records documenting the specimen collection and testing process,	for commercial motor vehicle driver alcohol and drug testing					c Annual statistical and other reports:	6 years	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.	
Personnel	Records documenting the specimen collection and testing process,	for commercial motor vehicle driver alcohol and drug testing					d Other records, including periodic reports and statistics and collection logbooks:	2 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Personnel	Drivers' test results and related records			Local governments may want to maintain these records concerning employees for an additional period or include them in the employee's personnel files, especially when they affect an employee's job status.		a	Verified positive controlled substance test results or alcohol test results indicating a breath or blood alcohol concentration equal to or greater than 0.02, documentation that individual employee's or job applicant's test was conducted and specimen handled properly, records of dispute of test results by driver, justification for conducting other than random test, records of compliance with Substance Abuse Professional's (SAP's) recommendations,	5 years		
Personnel	Drivers' test results and related records			Local governments may want to maintain these records concerning employees for an additional period or include them in the employee's personnel files, especially when they affect an employee's job status.		b	Negative or canceled controlled substance test result or alcohol test result indicating a breath or blood alcohol concentration less than 0.02:	1 year		
Personnel	Drivers' test results and related records			Local governments may want to maintain these records concerning employees for an additional period or include them in the employee's personnel files, especially when they affect an employee's job status.		c	Records relating to an individual employee's or job applicant's refusal to take alcohol or substance abuse test:	5 years		
Personnel	Documentation of other violations of alcohol or substance abuse rules,	including results of alcohol or substance abuse tests administered by law enforcement personnel, copies of police reports and medical records:	6 years after termination of employment							
Personnel	Staff training and evaluation records	for commercial motor vehicle driver alcohol and drug testing				a	Official copy of course syllabus or any local government produced training or advisory publication or videotape:	6 years after superseded		
Personnel	Staff training and evaluation records	for commercial motor vehicle driver alcohol and drug testing				b	Other training records including lists of attendees, copies of instructors' course or class notes, documentation of instructors' training and proof that employees have received required reading materials:	6 years		
Personnel	Lifeguard certification records					a	Log of certifications granted or test results:	6 years		
Personnel	Lifeguard certification records					b	Individual certification records:	1 year after application disapproved or certification expires		
Personnel	Employment Eligibility Verification Form I-9,	completed by employee and employer for all employees hired after November 6, 1986, verifying that the individual is eligible to work in the United States, including verification documents attached to the form:	3 years from date of hire or 1 year after employment is terminated, whichever is later							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Personnel	Employee assistance program records						a Reports and statistical compilations:	6 years after date of most recent entry		
Personnel	Employee assistance program records						b Program (including course and seminar) and literature files:	1 year after program no longer offered or literature superseded or otherwise obsolete		
Personnel	Employee assistance program records						c Employee consultation records:	3 years after date of most recent entry in record		
Personnel	Requests for employment or salary verification,	for former or current employees or individuals who are not employees, received internally and externally, including copies of requests, release of information authorization records, and related documentation and correspondence:	3 years							
Personnel	Teacher certification records,	including copies of applications, transcripts and other records submitted to New York State Education Department:	5 years	This item covers copies of teacher certification records maintained separate from individual teachers' personnel files. Certification records for individual teachers should be retained based on item no. 636b.						
Personnel	List of teachers whose teaching certificates have been revoked:		1 year							
Personnel	Professional development plan records,	describing how teachers will be provided with substantial professional development opportunities (may relate to annual professional performance review (APPR))		If the professional development plan is part of the comprehensive district education (or equivalent) plan, it is covered by item no. 882a in the School District and BOCES section, Administration subsection.			a Professional development plan, including all amendments and updates:	PERMANENT		
Personnel	Professional development plan records,	describing how teachers will be provided with substantial professional development opportunities (may relate to annual professional performance review (APPR))		If the professional development plan is part of the comprehensive district education (or equivalent) plan, it is covered by item no. 882a in the School District and BOCES section, Administration subsection.			b Plan development and adoption records, including records of plan development team, and related records:	6 years		
Personnel	Annual professional performance review plan records						a Professional performance review plan, including all amendments and updates:	PERMANENT		
Personnel	Annual professional performance review plan records						b Plan development, adoption, variance and related records:	6 years		
Personnel	Annual professional performance review plan records						c Application and related records pertaining to hardship waiver from second observation or school visit by evaluator:	6 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Personnel	Staff evaluation rating verification report and related statement of confirmation	as required as part of the annual professional performance review (APPR) for teachers and principals:	6 years							
Personnel	Teacher mentoring plan records						District internship or equivalent plan, including all amendments and updates:	PERMANENT		
Personnel	Teacher mentoring plan records						Plan development, adoption, variance and related records, including records of plan submission to and approval by the State Education Department:	6 years		
Personnel	Documentation of teacher mentoring program,	including but not limited to names and teacher certificate numbers of mentors and teachers served, type of mentoring activities, and the number of hours devoted to mentoring each new teacher					a Records relating to individual teachers mentored:	7 years from date of completion of the mentoring activity for records documenting professional development programs completed by employees in positions requiring teaching certification		
Personnel	Documentation of teacher mentoring program,	including but not limited to names and teacher certificate numbers of mentors and teachers served, type of mentoring activities, and the number of hours devoted to mentoring each new teacher					b Records of overall activities not relating to individual teachers mentored:	6 years		
Personnel	Substitute teacher registry records,	including records of centralized substitute teacher registries					a Registration application and qualification and availability records:	6 years after individual's registration is discontinued		
Personnel	Substitute teacher registry records,	including records of centralized substitute teacher registries					b Work assignment record:	55 years		
Personnel	Subversive activity report	submitted to Commissioner of Education, along with statements from public school system employees and related records					a Summary report submitted to Commissioner of Education:	PERMANENT		
Personnel	Subversive activity report	submitted to Commissioner of Education, along with statements from public school system employees and related records					b Records relating to person charged with subversive activity, or membership in a subversive organization, including hearing records and record of final disposition of case:	PERMANENT		
Personnel	Subversive activity report	submitted to Commissioner of Education, along with statements from public school system employees and related records					c Declarations by persons claiming no involvement in subversive activities or membership in subversive organizations:	3 years		
Civil Service	Official civil service employee roster card:		PERMANENT							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Civil Service	Established position record	showing a history of each position and names and other pertinent information about persons who occupied it					a If record contains detailed information about the position and persons who occupied it:	PERMANENT		
Civil Service	Established position record	showing a history of each position and names and other pertinent information about persons who occupied it					b If record only provides lists of names of employees:	1 year after final entry in record	The official listing or roster of all local government officials or employees, covered by item no. 656, must be retained permanently.	
Civil Service	Report of personnel change,	(including employee transfer record), except copy retained in employee's personnel records					c Employee transfer record:	0 after termination of employment, but not less than 6 years	Reports of personnel changes may also be found in employee personnel records. When filed in an employee personnel record, such copies are subject to lengthier retention requirements. See item no. 636.	
Civil Service	Job classification records,	including job classification questionnaire, analysis of job duties and request for reclassification:	1 year after subsequent classification action completed, but not less than 10 years	Appraise these records for historical significance prior to disposition. Local governments with official civil service functions should consider permanent retention of these records. Contact the State Archives for additional advice.						
Civil Service	Official copy of job posting and position duties statement						a When duties of position are described in detail:	PERMANENT		
Civil Service	Official copy of job posting and position duties statement						b When duties of position are not described in detail:	6 years		
Civil Service	Civil service eligible list records						a Official eligible list and certification of eligible list:	20 years after expiration of eligible list		
Civil Service	Civil service eligible list records						c Request for certification of eligible list:	1 year after expiration of eligible list, but not less than 4 years		
Civil Service	Civil service eligible list records						d Individual's request for reinstatement to eligible list and reply:	1 year after expiration of eligible list, but not less than 4 years		
Civil Service	Civil service eligible list records						e Eligible list canvass records, including but not limited to precanvass questionnaire and letter of canvass and reply:	6 months after expiration of eligible list, but not less than 4 years		
Civil Service	Civil service eligible list records						f Military record of applicant, when applicant was not hired:	4 years after expiration of eligible list		
Civil Service	Application for or inquiry concerning employment,	including resume, I-9 form, and related records, when applicant not hired					a For applicants for posted vacancies:	4 years after completion of personnel action	When the applicant is hired, the application is retained in or as long as the personnel file. See item no. 636 in the Personnel subsection.	
Civil Service	Application for or inquiry concerning employment,	including resume, I-9 form, and related records, when applicant not hired					b General employment inquiries and resumes which are not related to posted vacancies:	0 after no longer needed		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Civil Service	Recruitment, hiring, interview and selection records,	including but not limited to correspondence, reports, selection criteria, interview notes, background check records, rating and ranking forms, evaluations and other records pertaining to the hiring, promotion, demotion, transfer, layoff and termination of employees:	4 years after completion of personnel action	This item does not cover personnel records of individual employees. See item no. 636 in the Personnel subsection. Local governments may wish to include fingerprint check records and other materials concerning job applicants who are hired in those individuals' personnel records.						
Civil Service	Application for examination					a	When eligible list is established:	4 years after expiration of eligible list		
Civil Service	Application for examination					b	When no eligible list is established:	4 years after examination date		
Civil Service	Application for examination					c	Supplemental documentation filed in conjunction with application, including but not limited to student loan statement, credentials and copies of transcripts:	1 year		
Civil Service	Civil service examination and appointment review records					a	Civil service examination and announcement (official copy held by office with official civil service function):	PERMANENT		
Civil Service	Civil service examination and appointment review records					b	Civil service examination and announcement (other than official copy held by office with official civil service function):	0 after no longer needed		
Civil Service	Civil service examination and appointment review records					c	Candidate identification or admission card:	4 years after date of examination		
Civil Service	Civil service examination and appointment review records					d	Examination preparation, administration, and rating records:	5 years after date of examination		
Civil Service	Civil service examination and appointment review records					e	Veteran credit records:	50 years	Veteran credit records of individuals not hired are covered under item no. 692f.	
Civil Service	Civil service examination and appointment review records					f	Qualifying medical, physical fitness or agility examination report, when person is hired, and worked one year or longer:	30 years after termination of employment		
Civil Service	Civil service examination and appointment review records					g	Qualifying medical, physical fitness or agility examination report, when person is hired, and worked less than one year, provided copies were given to the employee upon termination of employment, pursuant to 29 CFR 1910.1020 (d-1) (i-C):	4 years after termination of employment		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Civil Service	Civil service examination and appointment review records						h Qualifying medical, physical fitness or agility examination report, when person is not hired:	4 years after date of examination		
Civil Service	Civil service examination and appointment review records						i Summary listing of examination results:	1 year after date of examination		
Civil Service	Civil service examination and appointment review records						j Notification of examination results mailed to candidate:	4 years		
Civil Service	Civil service examination and appointment review records						k Examination review records including but not limited to employee request, correspondence, and objection:	4 years after expiration of eligible list		
Civil Service	Civil service examination and appointment review records						l Appointment review records, documenting review of applicant qualifications for non-competitive, temporary or other positions not requiring examinations:	5 years		
Civil Service	Seniority list	ranking employees by length of service:	4 years after creation							
Civil Service	Disclosures related to student loan status,	received as part of civil service examination application, transmitted to New York State Higher Education Services Corporation, along with transmittal documents:	1 year							
Civil Service	Local government requests to State Civil Service Commission	for approval of changes to rules or jurisdictional classifications:	3 years after date of last entry in record							
	Employment and training program file	for Job Training Partnership Act, Comprehensive Employment and Training Act (C.E.T.A.), Manpower Development and Training Act, youth employment training, Work Force Investment Act, Workforce Innovation and Opportunity Act, and other job training programs					a Project application, proposal, narrative, evaluation, and annual report; or Background material and supporting documentation:	6 years	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.	
	Employment and training program individual participant file,	including but not limited to application, work schedule, evaluations, and notice of transition to non-grant employment:	6 years after last entry							
	Denied employment and training enrollment application:		3 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Health	Student's health record,	including but not limited to health history; individualized health care plan; immunization record; results and recommendations from examination, screening, or treatment; parent or guardian referral and permission record; and teacher's comments					a Summary record or individual records when not posted to summary record:	0 after individual attains age 27		
Health	Student's health record,	including but not limited to health history; individualized health care plan; immunization record; results and recommendations from examination, screening, or treatment; parent or guardian referral and permission record; and teacher's comments					b Individual records when posted to summary record, except blood and body fluids incident report:	1 year after end of school year		
Health	Student's health record,	including but not limited to health history; individualized health care plan; immunization record; results and recommendations from examination, screening, or treatment; parent or guardian referral and permission record; and teacher's comments					c Individual immunization record, including authorization and/or parental consent:	6 years, or 3 years after individual attains age 18, whichever is longer	These records may be requested beyond their minimum legal retention period by persons needing proof of certain immunizations for college admission or other purposes. The State Archives recommends that school districts and BOCES evaluate the need to retain immunization records longer than the stated minimum retention period for these purposes.	
Health	Student's health record,	including but not limited to health history; individualized health care plan; immunization record; results and recommendations from examination, screening, or treatment; parent or guardian referral and permission record; and teacher's comments					d Blood and body fluids incident report, even when posted to summary record:	0 after individual attains age 27		
Health	Student's health record,	including but not limited to health history; individualized health care plan; immunization record; results and recommendations from examination, screening, or treatment; parent or guardian referral and permission record; and teacher's comments					e Physician authorization to resume athletic activity after a traumatic brain injury:	PERMANENT		
Health	Log of students' accidents and illnesses	during school day:	1 year after end of school year	This retention period presumes that information contained in the log is also contained in the individual and/or summary health records covered by parts a. and/or b. of item no. 899. If this information is not posted to the student's individual and/or summary health records, then the log must be retained until the youngest student listed in it attains age 27.						
Health	Student's psychological or social assessment record file			Institutional school districts should retain all these records until the student attains age 27.			a Report regarding student's ability, personality, family, and environmental influences:	6 years after report written		
Health	Student's psychological or social assessment record file			Institutional school districts should retain all these records until the student attains age 27.			b Source materials used in preparing report, including "protocols," tests and notes, for students not classified as special education:	1 year after report written		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Health	Student's psychological or social assessment record file			Institutional school districts should retain all these records until the student attains age 27.			Source materials used in preparing report, including "protocols," tests and notes, for students classified as special education:	6 years		
Health	Student health summary reports,	covering all or groups of students, including school immunization survey summary and communicable disease summary report:	3 years							
	Client counseling file,	including but not limited to basic data form, interview and counseling records, copies of state and federal veterans' benefit forms, and records of referral to New York State Division of Veterans' Affairs:	10 years after no activity and completion of the most recent counseling service	A 1973 fire destroyed many records at the National Military Personnel Records Center. Local veterans service agencies may need to retain records predating 1973 in order to provide information contained in those records destroyed in that fire.						
	Log or register	showing summary information on all client contacts:	6 years after last entry							
	Monthly statistical report	submitted to New York State Division of Veterans' Affairs:	1 year							
Public Safety: General	Accreditation records for law enforcement, fire fighting or prevention or emergency medical services agency or unit						Assessment reports, annual compliance surveys (compliance reports), standard compliance reports, and other correspondence:	10 years		
Public Safety: General	Accreditation records for law enforcement, fire fighting or prevention or emergency medical services agency or unit						Contents of file folders used to demonstrate compliance with the program, provided they are copies:	0 after accreditation period ends or is renewed		
Public Safety: General	Emergency vehicle, apparatus and equipment records			Items covering purchase, warranty, repair, fuel use, and replacement are found in the Public Property and Equipment section.			Vehicle upkeep and use records, including records of incidents where vehicle responded and equipment was used:	3 years		
Public Safety: General	Emergency vehicle, apparatus and equipment records			Items covering purchase, warranty, repair, fuel use, and replacement are found in the Public Property and Equipment section.			Vehicle readiness checklist, or equivalent record, for any emergency vehicle, needed to ensure that necessary equipment and material is in place and in proper order:	3 years		
Public Safety: General	Emergency vehicle, apparatus and equipment records			Items covering purchase, warranty, repair, fuel use, and replacement are found in the Public Property and Equipment section.			Record of equipment (other than firearms) issued to public safety personnel:	1 year after equipment returned or otherwise disposed of		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Public Safety: General	Training records for law-enforcement officers, E-911, dispatch or fire-fighting personnel,	but excluding emergency medical personnel				a	Individual's record of courses attended and/or completed, including basic information on course content:	6 years after individual leaves service	Local officials may wish to keep these records longer, possibly for the career of the individual, if the records are consulted throughout that period.	
Public Safety: General	Training records for law-enforcement officers, E-911, dispatch or fire-fighting personnel,	but excluding emergency medical personnel				b	Training materials, which address core law enforcement, firefighting, or dispatch activities:	40 years		
Public Safety: General	Training records for law-enforcement officers, E-911, dispatch or fire-fighting personnel,	but excluding emergency medical personnel				c	Training materials, which address general public safety issues or non-core law enforcement activities:	1 year		
Public Safety: General	Training records for law-enforcement officers, E-911, dispatch or fire-fighting personnel,	but excluding emergency medical personnel				d	Division of Criminal Justice Services training materials:	0 after no longer needed		
Public Safety: General	Training records for law-enforcement officers, E-911, dispatch or fire-fighting personnel,	but excluding emergency medical personnel				e	Attendance lists:	1 year		
Public Safety: General	Alarm records					a	Permit files for connecting fire, water or burglar alarm to public safety agency emergency telephone system, including applications, copies of permits, inspection reports and related records:	6 years after denial, expiration or renewal		
Public Safety: General	Alarm records					b	Alarm or fire alarm box call record containing basic information on each alarm transmitted:	3 years		
Public Safety: General	Alarm records					c	False alarm records, including but not limited to lists of false alarms, notices sent to property owners and records of assessing and collecting fines for responses to false alarms:	6 years		
Public Safety: General	Alarm records					d	Alarm location records, including maps and listing and descriptions of alarms:	3 years after superseded or obsolete		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Public Safety: General	Public safety personnel service data file	or equivalent record, including incident and activity attendance information showing names of personnel present at fire or other emergency, including attendance at training, drills, meetings and other official activities		This item does not cover the personnel records of officer, employee or volunteer. See the Personnel/Civil Service section of this schedule.		a	Summary data on an individual:	3 years		
Public Safety: General	Public safety personnel service data file	or equivalent record, including incident and activity attendance information showing names of personnel present at fire or other emergency, including attendance at training, drills, meetings and other official activities		This item does not cover the personnel records of officer, employee or volunteer. See the Personnel/Civil Service section of this schedule.		b	Detailed data on an individual, when posted to or listed on summary data file or other record:	1 year		
Public Safety: General	Public safety personnel service data file	or equivalent record, including incident and activity attendance information showing names of personnel present at fire or other emergency, including attendance at training, drills, meetings and other official activities		This item does not cover the personnel records of officer, employee or volunteer. See the Personnel/Civil Service section of this schedule.		c	Detailed data on an individual, when not posted to or listed on summary data file or other record:	3 years		
Public Safety: General	Public safety real property data file,	containing basic and detailed information on land and structures, including hazards, property inspections, and individuals associated with properties				a	Basic or "history file" data:	Maintain as updated perpetual data file, for as long as system remains in use and property covered comes under service area	Local governments should consider permanent retention of the basic data elements of these property "history" files for all parcels of property, or the creation and permanent retention of "snapshots" of this data. This information may be useful for long-range planning purposes, and for community, urban planning, public safety issues, and other research. Contact the State Archives for additional advice.	
Public Safety: General	Public safety real property data file,	containing basic and detailed information on land and structures, including hazards, property inspections, and individuals associated with properties				b	Detailed data, including plans and computer-assisted design records:	0 after superseded or obsolete		
Public Safety: General	Public safety real property data file,	containing basic and detailed information on land and structures, including hazards, property inspections, and individuals associated with properties				c	Records of updates and corrections to property data:	3 years after update or correction made		
Public Safety: General	Documentation of macros, queries, and reports					a	Relating to specific case investigation or subject file:	Retain as long as the case investigation or subject file for which the documentation is created is retained		
Public Safety: General	Documentation of macros, queries, and reports					b	Not relating to specific case investigation or subject file:	0 after no longer needed	Depending on the results obtained from generating these macros, queries and reports, local officials may wish to retain these records for potential legal and other uses.	
Public Safety: General	Hazardous materials records					a	Hazardous materials location report or exemption filed with fire department or district, or equivalent record:	3 years after hazardous materials no longer stored at site	Local officials may wish to retain these records longer, possibly as long as 40 years, if the hazardous materials listed on this record include substances listed in Subpart Z, 29 CFR (federal O.S.H.A. Regulations).	

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Public Safety: General	Hazardous materials records						Textual reference information containing medical, chemical or other information used to assist dispatchers and responding personnel, and maps of agency/service coverages:	3 years after superseded or obsolete		
Public Safety: General	Hazardous materials records						Reports on hazardous materials found in the service area in its entirety, or at specific locations:	3 years after hazardous materials listed in report are no longer present at listed sites	Local officials may wish to retain these records longer, possibly as long as 40 years, if the hazardous materials listed on this record include substances listed in Subpart Z, 29 CFR (federal O.S.H.A. Regulations). In addition, if these reports document the presence of hazardous materials in a community at a given time, they should be appraised for historical significance. These records may have immediate significance for fire fighting and disaster prevention and long-term research value in situations where the hazardous materials found in the area had a significant impact on the community. Contact the State Archives for additional advice.	
Public Safety: General	Standard Operating Procedures	for call receipt and dispatch, including codes, abbreviations and authority file data:	PERMANENT	Detailed routine procedures are covered by item no. 52 in the General section.						
Public Safety: General	Reference files on municipalities, districts and volunteer entities	in service or neighboring areas:	0 after superseded or obsolete	Appraise these records for historical significance prior to disposition. These records may have long-term historical value in documenting emergency services in a given area. Contact the State Archives for additional advice.						
Public Safety: General	Community outreach and education program records,	including but not limited to those for drug and alcohol prevention, citizen/youth police academy, neighborhood watch and other crime prevention, and youths. Records include official copy of publications, recordings, or informational literature prepared for public distribution, training materials, participant applications and supporting documentation:	6 years							
Public Safety: General	Ride-along program records,	including applications to participate, waivers of liability, and criminal background check results:	3 years							
Fire Fighting and Prevention	Burn injury reports	(cases of victims that sustain substantial 2nd and 3rd degree burns) that medical officials submit to the New York State Office of Fire Prevention and Control:	0 after no longer needed							
Fire Fighting and Prevention	Fire safety inspection records					a	Master summary record of inspections performed:	PERMANENT		
Fire Fighting and Prevention	Fire safety inspection records					b	Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation:	21 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Fire Fighting and Prevention	Fire evacuation plan, disaster response plan, fire drill report, fire safety survey,	but not including mutual aid plan:	3 years after superseded or obsolete							
Law Enforcement: General	Incident, complaint, or arrest summary record or log	containing a summary of activities, when records or data are not submitted to the New York State Division of Criminal Justice Services (DCJS):	PERMANENT	Copies of records or data submitted to DCJS are covered under item no. 1221 below.	Most pre-1950 records have historical value.					
Law Enforcement: General	Law enforcement reports, studies or data queries,	including their documentation					a Reports, studies or queries having legal or fiscal value, such as reports covering use of equipment and personnel resources, reports on crime in specific neighborhoods, reports based on the Cley Act, or on specific kinds of criminal activity:	6 years	Appraise records covered by part "a" for archival value. Reports and studies analyzing law enforcement activity within a municipality for specific kind of criminal activity or a given area may be valuable for long-term planning, analysis of trends in law enforcement, and for historical and other research. Contact the State Archives for additional advice.	
Law Enforcement: General	Law enforcement reports, studies or data queries,	including their documentation					b Reports, studies or queries having no legal or fiscal value, such as daily communications or other routine internal reports:	0 after no longer needed		
Law Enforcement: General	Law enforcement reports, studies or data queries,	including their documentation					d Incident-based reports or queries:	3 years		
Law Enforcement: Personal Property	Personal property record						a For dangerous weapon, including but not limited to receipt, identification tag, and report of destruction:	6 years after disposition of property, or 0 after disposition of any related case investigation records, whichever is longer	Local law enforcement officials may wish to retain these records longer for investigative or other long-term administrative purposes. See also item no. 1236, below.	
Law Enforcement: Personal Property	Personal property record						b For other property, including but not limited to receipt, confiscated currency report, identification tag, and report of public auction or destruction:	6 years after disposition of property		
Law Enforcement: Firearms	Records of issuance of firearms or other weapons to law enforcement personnel:		3 years after return or other disposition of weapon							
Law Enforcement: Motor Vehicles	Traffic and parking violation records,	including parking, speeding or other appearance ticket (other than court's copy); officer's supporting deposition; parking violation hearing records; "boot and tow" records; and related records:	3 years after case closed							
Law Enforcement: Motor Vehicles	Vehicle history files,	including information on specific vehicles or vehicle models, including those which have been involved in accidents or used in the commission of crimes:	0 after no longer needed							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Law Enforcement: Motor Vehicles	Motor vehicle accident and other summary data,	reports and other records:	6 years	Appraise these records for archival value. These records may be useful in providing summary information on all motor vehicle accidents, and may reveal long-term trends and accident-prone areas and vehicles. Contact the State Archives for additional advice.						
Law Enforcement: Miscellaneous	Recordings taken from mobile and stationary units,	including but not limited to vehicle cameras, body-worn cameras, and video surveillance					a When recording relates to specific case investigation:	Retain as long as the case investigation to which the recording relates is retained		
Law Enforcement: Miscellaneous	Recordings taken from mobile and stationary units,	including but not limited to vehicle cameras, body-worn cameras, and video surveillance					b When recording does not relate to specific case investigation, such as routine traffic stop:	6 months	Recordings of potentially important incidents may warrant longer retention for legal reasons, even if no case investigation has been initiated. Local law enforcement agencies should carefully review these recordings before destroying or reusing them. In addition, recordings of specific pursuits, arrests and other serious incidents should be appraised for archival or long-term administrative value. Contact the State Archives for additional advice.	
Law Enforcement: Miscellaneous	Child abuse or maltreatment reports	and related records, reporting law enforcement agency copy, when not included in case investigation record		This item covers copies of child abuse and maltreatment reports and related records retained by law enforcement agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments. If these records are included in case investigation records, see item no. 1222.			a For sexual offenses against a child as defined by the Child Victims Act:	0 after child attains age 55		
Law Enforcement: Miscellaneous	Child abuse or maltreatment reports	and related records, reporting law enforcement agency copy, when not included in case investigation record		This item covers copies of child abuse and maltreatment reports and related records retained by law enforcement agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments. If these records are included in case investigation records, see item no. 1222.			b All other offenses:	3 years		
	Individual client file,	including but not limited to applications, evaluations, and follow-up report:	6 years after last contact with client, but not until 3 years after individual attains age 18	In instances where local government aging offices also have contact with minors in relation to Medicaid, retention needs to account for the legal age of majority of the client.						
	Nutrition service records,	including eligibility assessments, participant information, nutrition counseling, and meal services:	6 years							
	Senior volunteer file,	including but not limited to registration, enrollment and service records:	6 years							
	Records disposition documentation						a Consent of the Commissioner of Education to the use of records retention and disposition schedules and the legal disposition of records:	0 after superseded		

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	Records disposition documentation						b Documentation of final disposition of records, describing records disposed of and manner and date of disposition:	6 years after final disposition of records		
	Inventory of records	including descriptive inventories of records indicating the titles, contents, locations, volume, inclusive dates, and other attributes of those records:	0 after superseded by a new or updated inventory							
	Records transfer list						a For archival records:	PERMANENT		
	Records transfer list						b For inactive records:	0 after disposition of records on list		
	Retrieval request	for records in storage, including charge-out slips or logs:	3 years after records have been removed from storage or returned following retrieval	Local governments may wish to retain documentation of records that were not returned to storage longer than the indicated retention period to indicate the status and location of those non-returned records. They may need to use these records to track missing files, and to provide information or evidence of their unavailability during audits or litigation.						
	Archival administration records						a Appraisal and accessioning documentation, including assessment of conservation needs:	PERMANENT		
	Archival administration records						b Processing and management working papers, drafts, notes, and related records:	0 after no longer needed		
	Guide, listing, index, or other finding aid	to archival records:	0 after superseded	Local governments should retain any superseded guides, lists, indices or other finding aids containing record numbering and identification information, or any other significant information not carried forward to newer versions.						
	Records on use of archival materials						a Log or register of researchers, and patron's registration for use of archival records:	6 years		
	Records on use of archival materials						b Researcher interviews, reference statistics, requests for records, or similar reference service records:	0 after no longer needed		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Building/Property History Systems	Building/property history data file contained in building/property history system,	and related records, created for informational and reference purposes, containing information on such areas as building permit issuance, building inspection, certificate of occupancy issuance, site plan review or other planning actions, zoning variances, special use permits and fire inspections:	0 after no longer needed	Counties should consider permanent retention of the basic data elements of these building/property history systems for all parcels of property in the county. This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed records maintained in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for additional advice.						
Building/Property History Systems	Street address/parcel number authority data file,	used to supply building/property history system with accurate, up-to-date information on real property tax parcel numbers, property owners' names and addresses, parcel sizes, E-911 or other street addresses, and other essential data necessary for system to operate:	Retain until superseding or updated file received.	This data is often received from an assessor's or tax office. See items covering real property data systems in the Taxation and Assessment section.						
Building/Property History Systems	Lists, reports, studies, queries, searches for information, special project records and analyses	created from data contained in one or more data files in building/property history system					a Final reports and studies resulting from analysis of system data, including background materials and supporting documentation containing significant information on real property and structures located thereon, used for such purposes as long-range planning, change of zoning boundaries and regulations, or planning infrastructure improvements or new facility construction:	6 years after project completed, or after date of final entry in record	Appraise these records for historical significance prior to disposition. Records for important projects have historical value and should be retained permanently. Contact the State Archives for additional advice.	
Building/Property History Systems	Lists, reports, studies, queries, searches for information, special project records and analyses	created from data contained in one or more data files in building/property history system					b Reports and studies resulting from analysis of system data, including background materials and supporting documentation, queries, searches for information, lists, logs or other internal information records, containing routine information on real property and structures located thereon, or used to produce final reports and studies:	0 after no longer needed	Queries conducted in automated systems are not considered "records" unless the query and/or its results are saved in electronic or manual format. See also related items in the Information Technology section.	
Building and Construction (Regulation and Inspection)	Master summary record,	including index, log or journal, covering building code complaints, inspections, investigations, and violations:	PERMANENT							

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Building and Construction (Regulation and Inspection)	Property maintenance or building inspection records,	including but not limited to complaints, inspection reports, notice of violation, cumulative building inspection record, appeal or review and final disposition of case		For records that fall outside the building inspection process, see item no. 114.	Building inspection records relating to building permit issuance are covered by item no. 112.	a	Records documenting major issues (those that constitute a fire hazard or a serious threat to the life, health or safety of occupants) related to a school, public building, multifamily dwelling, commercial or industrial structure, or hazardous structure:	6 years after building no longer exists, but not less than 21 years		
Building and Construction (Regulation and Inspection)	Property maintenance or building inspection records,	including but not limited to complaints, inspection reports, notice of violation, cumulative building inspection record, appeal or review and final disposition of case		For records that fall outside the building inspection process, see item no. 114.	Building inspection records relating to building permit issuance are covered by item no. 112.	c	For single family home:	6 years after last entry in record		
Building and Construction (Regulation and Inspection)	Fire safety inspection records					a	Master summary record of inspections performed:	PERMANENT		
Building and Construction (Regulation and Inspection)	Fire safety inspection records					b	Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation:	21 years	If fire safety inspection records are combined or interfiled with building inspection records, use item no. 109.	
Building and Construction (Regulation and Inspection)	Fire safety inspection records					c	Report on inspection of single family dwelling and notice of violation:	6 years		
Building and Construction (Regulation and Inspection)	Building inspection data file	contained in building/property history system, and related records, created for informational and reference purposes, containing information on building inspections not related to building permit issuance, certificate of occupancy issuance, fire inspections, and other relevant detailed information:	0 after no longer needed	Counties should consider permanent retention of the basic data elements of this building inspection data for all parcels of property in the county, unless that data is preserved by the building/property history system overall summary data file (see item no. 105.) This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive						
Building and Construction (Regulation and Inspection)	Building permit and certificate of occupancy issuance records			Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.		a	Master summary record of applications for building, plumbing, electrical, demolition or related permits, or for certificates of occupancy granted:	PERMANENT		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Building and Construction (Regulation and Inspection)	Building permit and certificate of occupancy issuance records			Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.		b	Log or other chronological list recording permits or certificates of occupancy issued:	1 year after last entry in record, or 1 year after posting		
Building and Construction (Regulation and Inspection)	Building permit and certificate of occupancy issuance records			Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.		c	Building, plumbing, electrical, demolition or related permit file, including application and supporting materials; plans, maps and drawings; specifications; inspection reports; copies of all required permits and approvals; affidavit of compliance or completion of work; records of appeal when permit is denied; certificate of occupancy and correspondence, when permit is granted:	6 years after building no longer exists	Certain records covered by this item may be included under item no. 113, such as in instances where they are maintained in electronic format and not created as hard-copy output and included in the building permit file. In these cases, the electronic records covered by item no. 113 must be retained as long as specified by this item.	
Building and Construction (Regulation and Inspection)	Building permit and certificate of occupancy issuance records			Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.		d	Building, plumbing, electrical, demolition or related permit file, when permit is denied:	6 years after final decision		
Building and Construction (Regulation and Inspection)	Building permit and certificate of occupancy issuance records			Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.		e	Building, plumbing, electrical, demolition or related permit file, when application is discontinued, has lapsed or is incomplete:	90 days after date of most recent entry in record		
Building and Construction (Regulation and Inspection)	Building permit and certificate of occupancy issuance records			Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.		f	Building, plumbing, electrical, demolition or related permit file, for non-structural modifications to shopping mall, office complex or similar structure (modifications not involving changes to fire suppression or alarm systems), when permit is granted:	10 years		
Building and Construction (Regulation and Inspection)	Building permit and certificate of occupancy issuance records			Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.		g	Certificate of occupancy and application when not related to building permit application:	6 years after building no longer exists		
Building and Construction (Regulation and Inspection)	Building permit and certificate of occupancy issuance records			Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and the State Archives suggests they be retained permanently.		h	Pre-printed construction specifications submitted as part of building permit application as required by building trade or insurance companies:	6 years after denial of permit or completion of work		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Building and Construction (Regulation and Inspection)	Building permit issuance data file	contained in building/property history system, and related records, created for informational and reference purposes, containing information on applications for and issuance of building permits, including related inspections, certificate of occupancy issuance, and other relevant detailed information:	0 after no longer needed	Counties should consider permanent retention of the basic data elements of this building permit issuance data for all parcels of property in the county, unless that data is preserved by the master summary record (see item no. 108.) This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives for						
Building and Construction (Regulation and Inspection)	Building complaints/violations records,	including data file contained in building/property history system, warrants, summonses, and related records, containing information on complaint tracking and violation processing, and other relevant information:	6 years	For citizen complaints and requests for services, not covered by items in this section, see item no. 77 in the General Administration section. For sanitary code violations, see item no. 406 in the Environmental Health section.	Counties should consider longer retention of the basic data elements of this complaints/violations data for all parcels of property in the county, unless that data is preserved by the building/property history system overall summary data file (see item no. 105). This information may be useful for long-range planning purposes in conjunction with building permit issuance and building inspection data. Contact the State					
Building and Construction (Regulation and Inspection)	Building condemnation and demolition files,	including application, copy of permit, correspondence, and notice of condemnation:	PERMANENT							
Building and Construction (Regulation and Inspection)	Contractors' liability insurance records						a Certificate of insurance or copy of insurance policy:	6 years after denial or expiration of relevant permit		
Building and Construction (Regulation and Inspection)	Contractors' liability insurance records						b Master summary record of contractors doing business in municipality/county and their insurance coverage:	1 year after superseded or obsolete		
Planning	Comprehensive plan development file,	including but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plan:	PERMANENT	If multiple drafts of background surveys exist, retain initial, as-built and final surveys and dispose of drafts under item no. 62 in the General Administration section.						

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Planning	Planning action data file	contained in building/property history system, and related records, created for informational and reference purposes, containing information on mandatory or discretionary planning review, planning projects, and other relevant detailed information:	0 after no longer needed	Counties should consider permanent retention of the basic data elements of this planning action data for all parcels of property in the county, unless that data is preserved by the building/property history system overall summary data file (see item no. 105.) This information may be useful for long-range planning purposes, and for community and land use history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact the State Archives						
Planning	Planning project or program file	for project or program developed by or for planning agency					a Final report and essential supporting information used to develop report, including but not limited to maps, plans, technical memoranda and environmental impact studies:	PERMANENT		
Planning	Planning project or program file	for project or program developed by or for planning agency					b Background material, including but not limited to notes, memos, worksheets and correspondence:	6 years		
Planning	Master summary record	(log or register) maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken:	PERMANENT							
Planning	Mandatory planning review case file	for required review of site plan, zoning variance, special use permit, change of zoning, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination (per Sections 239-l, -m, and -n, General Municipal Law)		"Subdivision," as used in this item, means the division of one parcel of land into two or more lots, blocks, plots or sites.	Parts "a" to "f" below apply to records of referring bodies (e.g., city, town, or village).		a Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is approved or denied (except records covered by part "d"):	PERMANENT		
Planning	Mandatory planning review case file	for required review of site plan, zoning variance, special use permit, change of zoning, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination (per Sections 239-l, -m, and -n, General Municipal Law)		"Subdivision," as used in this item, means the division of one parcel of land into two or more lots, blocks, plots or sites.	Parts "a" to "f" below apply to records of referring bodies (e.g., city, town, or village).		b Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is withdrawn or abandoned (except records covered by part "d"):	10 years after last entry		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Planning	Mandatory planning review case file	for required review of site plan, zoning variance, special use permit, change of zoning, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination (per Sections 239-l, -m, and -n, General Municipal Law)		"Subdivision," as used in this item, means the division of one parcel of land into two or more lots, blocks, plots or sites.	Parts "a" to "f" below apply to records of referring bodies (e.g., city, town, or village).	c	Any other mandatory review:	6 years after last entry		
Planning	Mandatory planning review case file	for required review of site plan, zoning variance, special use permit, change of zoning, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination (per Sections 239-l, -m, and -n, General Municipal Law)		"Subdivision," as used in this item, means the division of one parcel of land into two or more lots, blocks, plots or sites.	Parts "a" to "f" below apply to records of referring bodies (e.g., city, town, or village).	d	Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:	6 years after last entry		
Planning	Mandatory planning review case file	for required review of site plan, zoning variance, special use permit, change of zoning, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination (per Sections 239-l, -m, and -n, General Municipal Law)		"Subdivision," as used in this item, means the division of one parcel of land into two or more lots, blocks, plots or sites.	Parts "a" to "f" below apply to records of referring bodies (e.g., city, town, or village).	e	Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:	1 year after last entry		
Planning	Discretionary planning review case file,	including review of planning review cases, federal or other aid projects, review of mining permit application, environmental impact or similar studies, or other reviews, including but not limited to application, correspondence, copies of local planning or zoning records, legally required notifications received from adjacent municipalities, maps, plans, sketches, and other supporting materials				a	When review is carried out, and comments are forwarded by planning agency:	3 years after last entry		
Planning	Discretionary planning review case file,	including review of planning review cases, federal or other aid projects, review of mining permit application, environmental impact or similar studies, or other reviews, including but not limited to application, correspondence, copies of local planning or zoning records, legally required notifications received from adjacent municipalities, maps, plans, sketches, and other supporting materials				b	When no comments are forwarded by planning agency:	1 year after receipt of request to review		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Zoning	Master summary record	(log or register) maintained by zoning agency to record receipt of zoning variance and special use permit applications, change of zoning applications for individual parcels, and other zoning activity, and to record subsequent action taken:	PERMANENT							
Zoning	Zoning maps,	and all updates:	PERMANENT							
Zoning	Change of zoning records,	including application, petition, protest, hearing minutes, preliminary and final reports and correspondence, relating to changes proposed in zoning boundaries or regulations:	PERMANENT	Change of zoning records relating to changes in zoning classification for individual parcels of property, not affecting other parcels or larger areas, are covered by item no. 129, as if these were zoning variance applications.						
Zoning	Zoning variance or special permit file,	including application and supporting materials, hearing results, decision and appeal records					a For commercial, industrial, historic structure or multi-unit residential variance or permit (except records covered by part "c"):	PERMANENT		
Zoning	Zoning variance or special permit file,	including application and supporting materials, hearing results, decision and appeal records					b For single-unit residential variance or permit:	25 years after date of last entry	Certain single-unit residential variance and permit files may be significant because they set legal precedents and should be retained permanently. Those involving the definition of what constitutes a "family" may be particularly important.	
Zoning	Zoning variance or special permit file,	including application and supporting materials, hearing results, decision and appeal records					c Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:	6 years after last entry		
Zoning	Zoning variance or special permit file,	including application and supporting materials, hearing results, decision and appeal records					d Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:	1 year after last entry		
Zoning	Notification of proposed zoning change,	received from adjacent municipality:	1 year							
Zoning	Zoning ordinance violation records,	not related to zoning variance or special permit application					a For alleged but unfounded violation:	1 year		
Zoning	Zoning ordinance violation records,	not related to zoning variance or special permit application					b Violation files:	6 years after date of last entry in record		
Zoning	Zoning ordinance violation records,	not related to zoning variance or special permit application					c Master summary record of violations:	PERMANENT		
	Death report and related records,	when no investigation is conducted by coroner or medical examiner:	6 years after last entry							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Motor vehicle death record	(MV-104 or similar form) submitted to New York State Department of Motor Vehicles:	6 years							
	Transcript, notes and worksheet of autopsy observations:		6 years after case closed							
	Business/industry loan case file,	including but not limited to loan application and evaluation, status reports, records of loan payments, tax abatement and exemption records, feasibility studies and correspondence:	6 years after denial of application or 6 years after final payment on loan							
	Master summary record	(log or register) documenting contacts and inquiries and resulting responses and actions taken by agency personnel:	PERMANENT							
Audit	Report of audit of financial affairs						a Audit filed pursuant to Section 35, General Municipal Law, conducted by New York State Comptroller's Office or by New York City Comptroller or by an outside auditing firm:	PERMANENT		
Audit	Report of audit of financial affairs						b Other external audits:	6 years		
Audit	Report of audit of financial affairs						c Internal audits, conducted by local government officials:	6 years		
Audit	Audit background documentation,	including summaries, posting records, and related records created by an auditing office as part of the auditing procedure:	6 years							
Audit	Audit hearing or review file:		6 years after audit accepted							
Banking and Investment	Banking communications ,	including but not limited to bank statement, reconciliation, notification of voiding or return of check, cancellation of payment, or other notice for checking or savings account:	6 years							
Banking and Investment	Canceled check or stop payment notices,	including payroll check or other instrument of payment, or order to fiscal officer to pay when used as a negotiable instrument, including voided check or instances of lost or stolen checks, and misdirected financial institution transactions:	6 years	It is recommended that a list of destroyed unused checks be created and maintained for legal or audit purposes.						
Banking and Investment	Copy of check or check stub:		6 years							
Banking and Investment	Depository agreement,	including designation of depository, bond or surety, or other record relating to deposition of local government funds:	6 years after agreement, contract, designation, bond or surety has expired or been superseded or rescinded							
Banking and Investment	Deposit book for checking account:		6 years after date of most recent entry							
Banking and Investment	Deposit book for savings account:		6 years after cancellation							
Banking and Investment	Deposit slip:		6 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Banking and Investment	Master summary record of bonds, notes, or securities	purchased by the government for investment, identifying the security, the fund for which held, the place where kept, and listing the date of sale and the amount realized:	PERMANENT							
Banking and Investment	Periodic reports and similar records	of yield received from or status of bonds, notes, securities or other obligations purchased for investment:	6 years after bond issue retired							
Bonds and Notes	Bond issue preparation file,	covering bonds issued by local governments					a Master summary record of bonds issued:	PERMANENT		
Bonds and Notes	Bond issue preparation file,	covering bonds issued by local governments					b Other records, including those relating to bond attorneys, preparation of the prospectus, prospectus distribution to bond buyers, bond printing, list of prospective or actual buyers, bond printing bids, bond ratings, and proof of publication of notice of estoppel:	6 years after bond issue retired		
Bonds and Notes	Bond or note issue and cancellation register,	including information on the type, amount, number of obligations in issue, rate of interest, date of maturity, holders, cancellation of the bond or note, and other pertinent information:	6 years after cancellation of last bond or note							
Bonds and Notes	Debt-contracting power statement	filed with Office of the State Comptroller before sale of bonds:	6 years after bond issue retired							
Bonds and Notes	Records relating to exclusion of self-liquidating indebtedness	by a local government, including copy of application filed with Office of State Comptroller, notice and proof of publication, and State Comptroller's written certificate:	6 years after date of certificate							
Budget	Budget preparation file	for budget request or estimate submitted by department head, including but not limited to the preliminary or tentative budget, budget appropriation and staffing requests, estimates of revenues or expenditures, narrative of services, budget message, budget hearing and review files, and related records:	6 years							
Budget	Annual budget						a Official copy when not included in minutes:	PERMANENT		
Budget	Annual budget						b When budget is included in minutes:	0 after officially recorded in minutes		
Budget	Annual budget						c Reporting office copy:	0 after no longer needed		
Budget	Special budget	filed with state or federal agency:	PERMANENT							
Budget	Budget status report	on allocation, receipts, expenditures, encumbrances, and unencumbered funds					a Cumulative report:	6 years		
Budget	Budget status report	on allocation, receipts, expenditures, encumbrances, and unencumbered funds					b Monthly or quarterly report:	1 year		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Budget	Budgetary change request,	(if not included in minutes) including approval or denial for change in approved budget and including but not limited to transfer of funds from one budget item to another, overtime authorization, or request for supplemental funds:	6 years							
Claims and Warrants	Claim for payment	(approved or disallowed), including claim, vendor's voucher and bill:	6 years							
Claims and Warrants	State or federal-state reimbursement claim file (federal revenue sharing),	including but not limited to annual state aid consolidated funding application, summary and detail of claim, worksheets and other supporting documents:	6 years							
Claims and Warrants	Summary record of outstanding or paid warrants or claims:		6 years							
Claims and Warrants	Notice of claim record and index	as required by Section 50-f of the General Municipal Law:	6 years after final disposition of claim							
Claims and Warrants	Order or warrant to pay monies:		20 years	For any funds held in a savings bank						
Claims and Warrants	Order or warrant to pay monies:		6 years	For any funds not held in a savings bank						
Claims and Warrants	Outstanding warrants listing,	including adding machines tapes:	6 years							
Claims and Warrants	Assignment of claim:		6 years after satisfaction or 10 years, whichever is less							
General Accounting and Miscellaneous	General ledger	showing summary receipts and disbursements from all funds and accounts:	6 years after last entry	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. General ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions involving a local government.	General ledger of municipal electric or gas utility is covered by item no. 383 in the Electric and Gas Utility section.					
General Accounting and Miscellaneous	Subsidiary ledger	providing details of the general ledger accounts:	6 years after last entry	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Subsidiary ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions involving a local government, if this detailed information is not contained in general ledgers.						
General Accounting and Miscellaneous	Journal	recording chronological entries of all fiscal transactions:	6 years after last entry	Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Journals containing detailed entries that include information on payor, payee and purpose may be valuable in documenting financial transactions involving a local government.	Journal voucher of a municipal electric or gas utility is covered by item no. 383 in the Electric and Gas Utility section.					

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
General Accounting and Miscellaneous	Accounting register,	including but not limited to check register, transfer of funds register, encumbrance register, and register of claims presented for payment and paid claims:	6 years after last entry							
General Accounting and Miscellaneous	Cash transaction record	showing cash received from collection of various fees and petty cash disbursed:	6 years							
General Accounting and Miscellaneous	Tolls or fares collection record,	including but not limited to record of receipts and log of operations:	6 years							
General Accounting and Miscellaneous	Daily cash record,	including adding machine tapes, cashier's slips showing daily cash receipts and analysis of cash receipts:	6 years							
General Accounting and Miscellaneous	Notice of encumbrance	indicating funds encumbered and amount remaining unencumbered:	6 years							
General Accounting and Miscellaneous	Past due account fiscal records and summaries:		6 years after account satisfied or otherwise closed							
General Accounting and Miscellaneous	Intermediary fiscal record of receipts and disbursements,	including but not limited to detail record, analysis, proof sheet or trial balance worksheet, and adding machine tapes:	6 years							
General Accounting and Miscellaneous	List or abstract of receipts, disbursements, claims, purchase orders, or contracts:		6 years							
General Accounting and Miscellaneous	Billing records covering services provided by local government,	including utilities					a Customer's individual account, including automatic payment authorization and other ACH records:	6 years after last entry		
General Accounting and Miscellaneous	Billing records covering services provided by local government,	including utilities					b Records used to determine billing and charges including "flat rate" computation record and copies of bills and charge slips:	6 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
General Accounting and Miscellaneous	Billing records covering services provided by local government,	including utilities					c Billing address records:	0 after superseded or obsolete		
General Accounting and Miscellaneous	Bill of sale	of property owned by local government other than real property:	6 years							
General Accounting and Miscellaneous	Sales or occupancy tax records,	covering taxes collected by local governments:	6 years							
General Accounting and Miscellaneous	Tax exemption records,	showing that local government is exempt from paying sales, use or other taxes:	1 year after superseded or obsolete							
General Accounting and Miscellaneous	Payment recoupment records,	documenting the process of recovering monies paid erroneously by local government to employee, vendor or other payee:	6 years after date of most recent entry in record							
General Accounting and Miscellaneous	Receipt (received) or copy of receipt (issued)	other than for payment of taxes:	6 years							
General Accounting and Miscellaneous	Grant, award or gift files,	covering grants, awards and gifts given by local governments to other local governments, not-for-profit corporations, businesses or individuals		Records of grants received by local governments are covered by item no. 55 in the General Administration section.			a Master summary record or index of grants, awards or gifts used to track awarding, progress, or payments:	PERMANENT		
General Accounting and Miscellaneous	Grant, award or gift files,	covering grants, awards and gifts given by local governments to other local governments, not-for-profit corporations, businesses or individuals		Records of grants received by local governments are covered by item no. 55 in the General Administration section.			b Detailed records of grants, awards and gifts (awarded or not), excluding master summary record:	6 years		
General Accounting and Miscellaneous	Credit card records	documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted:	6 years							
Payroll	Payroll,	including information on gross and net pay, base pay, taxes, and other deductions					a Year-end payroll, including detailed information necessary for salary verification for retirement and social security purposes:	55 years		
Payroll	Payroll,	including information on gross and net pay, base pay, taxes, and other deductions					b Periodic payroll, including detailed information necessary for salary verification for retirement and social security purposes, when no year-end payroll is maintained or year-end payroll does not contain this required detailed information:	55 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Payroll	Payroll,	including information on gross and net pay, base pay, taxes, and other deductions					c Periodic payroll, not including detailed information necessary for salary verification for retirement and social security purposes:	6 years		
Payroll	Payroll,	including information on gross and net pay, base pay, taxes, and other deductions					d Warrant authorizing payment of salaries based on a specific payroll, if maintained separate from payroll itself:	6 years		
Payroll	Payroll,	including information on gross and net pay, base pay, taxes, and other deductions					e Preliminary draft of payroll:	0 after warrant authorizing payment of salaries is signed		
Payroll	Payroll,	including information on gross and net pay, base pay, taxes, and other deductions					f County's information copy of municipal, school, fire or special district payroll:	0 after no longer needed		
Payroll	Payroll, contributions, or related report	covering all employees or an individual employee, and not covered by specific item in this section		Local governments may wish to retain these records longer (i.e., 55 years) for social security or retirement documentation purposes.			a When needed for audit or other fiscal purposes:	6 years		
Payroll	Payroll, contributions, or related report	covering all employees or an individual employee, and not covered by specific item in this section		Local governments may wish to retain these records longer (i.e., 55 years) for social security or retirement documentation purposes.			b When not needed for audit or other fiscal purposes:	0 after no longer needed		
Payroll	Payroll distribution breakdown record	used to distribute or classify labor costs:	6 years	Local governments may wish to retain these records longer (i.e., 55 years) for social security or retirement documentation purposes.						
Payroll	Summary record of employee's payroll changes:		6 years after termination of employment							
Payroll	Employee's time records:		6 years							
Payroll	Record of employee absences or accruals			This item does not apply to an employee's time cards or sheets.			a When not posted to periodic cumulative time summary record:	6 years		
Payroll	Record of employee absences or accruals			This item does not apply to an employee's time cards or sheets.			b When posted to periodic cumulative time summary record:	1 year		
Payroll	Employee request for and/or authorization given to employee to use or donate sick, vacation, personal or other leave, or to work overtime:		6 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Payroll	Record of assignments, attachments, and garnishments of employee's salary,	including pension loan paybacks and time buybacks					a When employment was terminated prior to satisfaction:	6 years after termination of employment		
Payroll	Record of assignments, attachments, and garnishments of employee's salary,	including pension loan paybacks and time buybacks					b When satisfied, cancelled, or withdrawn:	5 years after satisfaction or withdrawal		
Payroll	Employee's voluntary payroll deduction request form,	including but not limited to deferred compensation or health saving account requests:	5 years after authorization expires							
Payroll	Schedule or other notification from issuing bank	showing savings bond purchased for employee:	5 years after latest bond issue							
Payroll	Employee's personal earnings record	used to prove end-of-year total earnings, retirement or other deductions and taxes withheld:	6 years	Local governments may need to retain these records longer for social security or retirement documentation purposes.						
Payroll	Employee's declaration of intention to accept or reject Social Security:		10 years after employee dies or reaches age 75, whichever is shorter							
Payroll	Quarterly or other periodic report of wages paid	prepared for Social Security, and report of any adjustments or corrections:	6 years after year in which wages were reported							
Payroll	Copy of federal determination of error in wage reports	(Form OAR-S30 or equivalent record):	6 years after determination received							
Payroll	Payroll report	submitted to New York State Employee's Retirement System, Policemen's and Firemen's Retirement System, State Teachers Retirement System, or any other official pension system:	6 years	Local governments may wish to retain these records longer (i.e., 55 years) for social security or retirement documentation purposes.						
Payroll	Employer's copy of federal tax returns,	including annual and quarterly returns, continuation sheets, notices of tax return due, or equivalent forms:	4 years after tax paid							
Payroll	Employer's copy of U.S. Internal Revenue Service tax forms,	including but not limited to U.S. Information Returns, Withholding Tax Statement (Form W-2), Transmittal of Wages and Tax Statements (Form W-3), Request for Taxpayer Identification Number (TIN) and Certification (Form W-9), or equivalent forms:	5 years							
Payroll	Employee's Withholding Exemption Certificate (Form W-4),	or equivalent form:	4 years after a superseding certificate is filed or employment is terminated							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Payroll	Employer's copy of New York State income tax records	relating to employees:	4 years after tax was paid							
Payroll	Direct deposit records,	covering direct deposit of employee's salary, including but not limited to application to begin or terminate direct deposit, and transaction log or similar reports:	5 years after authorization expires							
Payroll	Employee's declaration of intention to decline membership or participation in retirement system or benefit plan	For retirement system	6 years after termination of employment							
Payroll	Employee's declaration of intention to decline membership or participation in retirement system or benefit plan	For benefit plan	6 years after termination of employment							
Purchasing	Purchase order, purchase requisition,	or similar record, used to obtain materials, supplies, or services:	6 years							
Purchasing	Purchasing file,	including but not limited to bid (successful, unsuccessful), contract, specifications, requests for proposals, vouchers, bills, and related records, for purchase of materials, equipment, supplies and services not connected with capital construction:	6 years after completion of purchase or 6 years after final payment under contract, whichever is later	For capital construction, see item no. 806 in the Public Property and Equipment section and item no. 1070 in the Transportation and Engineering section.						
Purchasing	Vendor file,	including but not limited to list of vendors doing business with the local government, vendor evaluation forms, price lists or other information received from vendors:	0 after obsolete							
Purchasing	Performance guarantee	or written warranty for products or similar record:	6 years after expiration							
Purchasing	Invoice,	packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies:	6 years							
Purchasing	Invoice register,	or similar record used to list invoices:	6 years after last entry							
Purchasing		List or abstract of purchase orders, claims or contracts	6 years							
Purchasing	Standing order file,	used for purchase of materials and supplies which are received on a regular basis:	6 years							
Purchasing	Chargeback records,	showing specific fund to be charged for in-house expenditure:	6 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Purchasing	Canceled bids file,	including purchase requisitions, vendor solicitations, requests for proposals (RFPs), requests for quotes (RFQs), requests for information (RFIs), requests for comments (RFCs), price quotations and related records concerning bids for goods or services which were canceled without a purchase being completed:	1 year after subsequent procurement of the same goods or services completed under a re-initiated procurement, or 1 year after decision not to purchase such goods or services							
Reports	Daily, weekly, monthly, quarterly, or other periodic fiscal reports,	including but not limited to daily funds report, daily cash report, statement of monthly balances, recapitulation of disbursements, and departmental reports:	6 years							
Reports	Annual or final fiscal reports					a	When report is not included in minutes:	PERMANENT		
Reports	Annual or final fiscal reports					b	When report is included in minutes:	0 after officially recorded		
Reports	Fiscal reports from state agencies:		6 years							
Reports	Fiscal report	on management of court funds and of securities or depositories in which court funds are invested or deposited:	6 years	Municipalities must submit to the Office of the State Comptroller reports on moneys paid to a court of record pursuant to Section 70.12, 2NYCCR.						
Reports	Certificate, demand or direction to fiscal officer to pay monies:		6 years							
Reports	Verification of travel expenses,	including but not limited to certificate of accuracy and receipts:	6 years							
General	Certification, licensing, and accreditation records	covering review and approval by state or federal agency or professional review organization, to operate facility or program, to conduct tests, or to perform specified work, including lists of permissible procedures or tests:	7 years after superseded, revoked, or no longer valid							
General	Survey, evaluation, and inspection records	covering review of facilities and programs by state or federal agency or professional review organization, including but not limited to medical care evaluation and similar studies:	PERMANENT							
General	Appointment records,	including slips, return cards, sign-in sheets, and clinic schedules kept by facility or public health program:	0 after obsolete	Appointment records for certain patients may have legal value to supplement patient medical records in documenting services provided to these patients.						
General	Screening and assessment records and referrals					a	For persons evaluated but not treated by facility or program, other than early intervention program:	3 years		
General	Advice and referral records,	covering medical, mental health or other information provided to individuals in person or over the telephone, including but not limited to telephone logs and individual call records				a	When person involved is or becomes a patient:	Retain as long as patient case record		
General	Advice and referral records,	covering medical, mental health or other information provided to individuals in person or over the telephone, including but not limited to telephone logs and individual call records				b	When person involved is not or does not become a patient:	6 months		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Fiscal (Public Health)	Annual expenditure report or budget	submitted to state or federal agency or professional review organization:	PERMANENT							
Fiscal (Public Health)	Patient's individual financial case record and account									
Fiscal (Public Health)	Patient's individual financial case record and account					a	Individual case record, account card, or ledger card:	7 years after account closed, but not less than 9 years		
Fiscal (Public Health)	Patient's individual financial case record and account					b	Individual charge records, posted to case record or card:	7 years		
Fiscal (Public Health)	Medicare, Medicaid or insurance carrier claim records,	including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received:	10 years							
Fiscal (Public Health)	Insurance and reimbursement related reports,	including Medicare/Medicaid cost report and certified uniform financial or statistical report, and all necessary supporting documentation:	9 years							
Fiscal (Public Health)	Patient personal property records,	including log or register of personal property of patients and receipts and related property records of original entry:	6 years after death or discharge of patient							
Facility and Patient Services	Establishment, major alteration, or change of occupancy or use records					a	Records of review and approval of plans, schedule of costs, feasibility studies, plans, specifications and drawings, final report, and significant correspondence:	PERMANENT		
Facility and Patient Services	Establishment, major alteration, or change of occupancy or use records					b	Memoranda, routine correspondence, and supplemental fiscal documentation:	6 years after last entry		
Facility and Patient Services	Facility committee records					a	Minutes of medical staff committees, including but not limited to utilization review committee, joint conference committee or patient care conference:	PERMANENT		
Facility and Patient Services	Facility committee records					b	Records of medical staff committees, excluding minutes, including but not limited to agenda, worksheets and notes:	6 years		
Facility and Patient Services	Facility committee records					c	Minutes and all other records of facility committee other than medical staff committees, such as dietary services committee or activities committee:	6 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Facility and Patient Services	Dietary services records						a Food service records, including meal counts, roster of patients' diet orders, and dietary services studies:	3 years		
Facility and Patient Services	Dietary services records						b Menus:	1 year		
Facility and Patient Services	Patient activities records,	including information on courses and activities offered to patients:	2 years							
Facility and Patient Services	Medical information index,	including but not limited to physician's index, disease index and operative index:	PERMANENT							
Facility and Patient Services	Census record of patients:		6 years							
Facility and Patient Services	Nursing services report,	including substation, shift and ward report:	1 year							
Facility and Patient Services	Hospital stay data collection records	covering data collection and review by Statewide Planning and Research Cooperative System (S.P.A.R.C.S.) and Data Protection Review Board (D.P.R.B.)					a Request for data or review of data:	2 years		
Facility and Patient Services	Hospital stay data collection records	covering data collection and review by Statewide Planning and Research Cooperative System (S.P.A.R.C.S.) and Data Protection Review Board (D.P.R.B.)					b Results of data processing:	0 after data verified		
Facility and Patient Services	Hospital stay data collection records	covering data collection and review by Statewide Planning and Research Cooperative System (S.P.A.R.C.S.) and Data Protection Review Board (D.P.R.B.)					c Data received from S.P.A.R.C.S.:	0 after no longer needed for administrative purposes		
Facility and Patient Services	Quality assurance records						a Quality assurance plan, including staff privileges review procedures:	PERMANENT		
Facility and Patient Services	Quality assurance records						b Relating to quality of care provided by individual hospital staff members:	10 years after termination of employment		
Facility and Patient Services	Quality assurance records						c Relating to quality of care provided individual patient, when not duplicated in medical case record:	Retain as long as medical case record		
Facility and Patient Services	Quality assurance records						d Relating to more than one patient:	Retain as long as all relevant medical case records are retained		
Facility and Patient Services	Health facility infection control and monitoring records:		10 years							
Patient Case Records and Related Materials	Master summary record,	master index file, or principal register giving basic data on individual patients:	PERMANENT							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Patient Case Records and Related Materials	Patient data file,	providing summary and/or detailed information on patient:	Maintain as long as patient medical or other case record.	Health agencies and facilities should consider permanent or long-term retention of the basic data elements of these systems for both administrative convenience and for potential research purposes. This data may provide for ease of access to other electronic and paper-based files and may create a record which replaces or supplements the master summary record (see item no. 738). Contact the State Archives for additional advice.						
Patient Case Records and Related Materials	Patient's leave records,	including leave book or slip, patient's request, physician's consent and record of leave taken:	6 years							
Patient Case Records and Related Materials	Utilization review records	for individual patient, excluding those contained in medical case record:	6 years							
Patient Case Records and Related Materials	Pre-admission screening records	for long-term care health facility				a	When person is not admitted:	0 after obsolete		
Patient Case Records and Related Materials	Pre-admission screening records	for long-term care health facility				b	When person is admitted, and information is not duplicated in medical case record:	Retain as long as medical case record		
Patient Case Records and Related Materials	Medical case record of hospital patient,	(in-patient and out-patient), excluding film, tracing, or other record of original entry when information contained is posted to or summarized in case record:	7 years after death or discharge of patient, but not until 3 years after individual attains age 18	Appraise these records for historical significance. These records may have continuing value for historical or other research, and the State Archives suggests hospitals consider permanent retention, or if not permanent, for at least 10 years after death or discharge of patient, based on American Medical Records Association guidelines. In addition, records of adoptive children may need to be retained longer for legal and medical reasons. Also, medical records of mothers may, in certain cases, need to be retained longer if needed relative to their children's health. The State Archives recommends that these factors be considered in disposing of medical case records, and that these records be evaluated for disposition on a case-by-case						
Patient Case Records and Related Materials	Medical case record of long-term care health facility patient:		7 years after death or discharge of patient, but not until 3 years after individual attains age 18							
Patient Case Records and Related Materials	Medical case record of out-patient,	including but not limited to diagnostic or treatment center patient; child health, maternity, family planning, lead poisoning, medical rehabilitation, dental health, Indian reservation health, nutrition or tuberculosis clinic patient; health related social services and home health agency patient, but excluding early intervention program:	7 years after discharge or last contact, but not until 3 years after youngest patient attains age 18							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Patient Case Records and Related Materials	Original entry patient care records	which exist separately from case record, including nurses' notes, operating room record, therapy record, nursery and obstetrics record, emergency room treatment record, triage records, and temperature charts					a When significant information is posted to medical case record:	6 years		
Patient Case Records and Related Materials	Original entry patient care records	which exist separately from case record, including nurses' notes, operating room record, therapy record, nursery and obstetrics record, emergency room treatment record, triage records, and temperature charts					b When significant information is not posted to medical case record:	Retain as long as medical case record		
Patient Case Records and Related Materials	Film or tracing,	including X-ray, EKG tracing, EEG tracing, sonogram, echo cardiogram and holter monitor printout, when report of film or tracing is not incorporated into medical case record:	6 years, or 3 years after minor patient reaches age 18, whichever is longer	Holter monitor tapes need only be retained for one month after printouts ("disclosures") are produced from them.	Older X-rays on nitrate-base films, which have deteriorated to the point where they are no longer usable, should not be retained. Retention of older nitrate-base X-rays may pose a serious fire hazard.					
Patient Case Records and Related Materials	Patient care conference records,	including worksheets and evaluations, but excluding minutes					a When significant information is posted to medical case record:	0 after posting		
Patient Case Records and Related Materials	Patient care conference records,	including worksheets and evaluations, but excluding minutes					b When significant information is not posted to medical case record:	Retain as long as medical case record.		
Patient Case Records and Related Materials	Communicable disease individual case records						a Communicable disease case report or equivalent record, including copy of laboratory report:	6 years after discharge or last contact, or 3 years after individual attains age 18, whichever is longer		
Patient Case Records and Related Materials	Communicable disease individual case records						b Supplementary reports on communicable diseases:	2 years		
Patient Case Records and Related Materials	Communicable disease individual case records						c Typhoid carrier records:	2 years after death or release of carrier		
Patient Case Records and Related Materials	Communicable disease individual case records						d Syphilis treatment case record:	40 years		
Patient Case Records and Related Materials	Communicable disease individual case records						e Sexually transmitted disease case record, except syphilis:	6 years, or 3 years after individual attains age 18, whichever is longer		
Patient Case Records and Related Materials	Mental health incident report:		20 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Patient Case Records and Related Materials	Mental health individual case record					a	Clinical discharge summary:	25 years		
Patient Case Records and Related Materials	Mental health individual case record					b	Case record materials, except clinical discharge summary:	6 years after discharge or last contact with patient, or after individual attains age 21, whichever is longer	Appraise these records for historical significance. Records covered by item nos. 752 and 753 may have continuing value for historical or other research. Contact the State Archives for additional advice in this area.	
Patient Case Records and Related Materials	Alcohol or substance abuse individual case record	including clinical discharge summary:	6 years after date of discharge or last contact, or 3 years after individual attains age 18, or for the period required by contractual arrangements, whichever is longest							
Patient Case Records and Related Materials	Reports, studies or data queries,	including those generated from patient data system (including documentation of macros, queries, and reports)				a	Reports, studies or queries relating to individual patient:	Retain as long as or as part of medical or other patient case record		
Patient Case Records and Related Materials	Reports, studies or data queries,	including those generated from patient data system (including documentation of macros, queries, and reports)				b	Reports, studies or queries not relating to individual patient:	0 after no longer needed	Appraise records covered by part "b" for archival value. Reports and studies analyzing specific medical conditions and their treatments may be valuable for long-term planning and for medical, historical and other research. Contact the State Archives for additional advice.	
Laboratory	Master summary record,	including accession sheet or register				a	Register of laboratory tests performed:	10 years	Appraise these records for archival value. These records may contain detailed information on the subject, nature and results of laboratory tests and may have long-term or permanent scientific or historical research value. Contact the State Archives for additional advice.	
Laboratory	Master summary record,	including accession sheet or register				b	Record of collection of specimens:	10 years		
Laboratory	Laboratory test data file,	providing summary and/or detailed information on laboratory tests performed				a	For clinical laboratory tests:	Maintain as long as related laboratory tests results		
Laboratory	Laboratory test data file,	providing summary and/or detailed information on laboratory tests performed				b	For forensic or toxicology tests:	6 years		
Laboratory	Laboratory test data file,	providing summary and/or detailed information on laboratory tests performed				c	For environmental health tests:	Maintain as long as related laboratory tests results	Laboratories should consider permanent or long-term retention of the basic data elements of these systems for both administrative convenience and for potential research purposes. This data may provide for ease of access to other electronic and paper-based files (such as accession records and laboratory test results) and may create a record which replaces or supplements the master summary record (see item no. 757). Contact the State Archives for additional advice.	
Laboratory	Request for laboratory test:		Retain as long as the related test results							
Laboratory	Referral information for cytogenetic cases:		6 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Laboratory	Laboratory worksheet, workslip, history slip, or similar record						a For environmental health, or toxicology or forensic test:	Retain as long as related test results		
Laboratory	Laboratory worksheet, workslip, history slip, or similar record						b. For clinical laboratory tests:	1 year		
Laboratory	Preventive maintenance, service, or repair record	for laboratory equipment or instrument:	Retain as long as the equipment or instrument remains in use, but no less than 2 years, and also as long as test results using this equipment are retained	If equipment is used to produce laboratory tests which have differing minimum legal retention periods, then these preventive maintenance records must be retained as long as the longest period of time these laboratory test results need to be retained.						
Laboratory	Quality control records	covering laboratory equipment and procedures:	Retain as long as test results using this equipment are retained	If equipment is used to produce laboratory tests which have differing minimum legal retention periods, then these quality control records must be retained as long as the longest period of time these laboratory test results need to be retained.						
Laboratory	Laboratory reports, studies or data queries,	including those generated from automated data system					a Forensic and other related investigation reports:	6 years		
Laboratory	Laboratory reports, studies or data queries,	including those generated from automated data system					b All other reports, studies or queries:	0 after no longer needed	Appraise these records for archival value. Reports and studies analyzing specific types of tests, test results and the population being tested may be valuable for long-term planning and for medical, historical and other research. Because these records will vary greatly as to content, subject and detail, they should be appraised for archival value. Contact the State Archives for additional advice.	
Laboratory	Laboratory specimens and slides	Blood film, routine	6 months							
Laboratory	Laboratory specimens and slides	Blood film, other than routine:	1 year							
Laboratory	Laboratory specimens and slides	Cytology slide, showing abnormality:	10 years							
Laboratory	Laboratory specimens and slides	Cytology slide, showing no abnormality:	5 years							
Laboratory	Laboratory specimens and slides	Bone marrow biopsy, tissue block, histopathology slides or blocks, surgical pathology slides [including Autopsy Paraffin Blocks (non-forensic)]:	20 years							
Laboratory	Laboratory specimens and slides	Bacteriology slide, on which no diagnosis depends:	0 years							
Laboratory	Laboratory specimens and slides	Bacteriology slide, on which a diagnosis depends:	1 year							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Laboratory	Laboratory specimens and slides	Cytogenetic slide:	6 years							
Laboratory	Laboratory specimens and slides	Photographic record of cytogenetic karyotype:	25 years							
Laboratory	Laboratory specimens and slides	Recipient blood specimens:	1 week							
Laboratory	Blood, including blood components and blood derivatives, collection, release, transfusion and related records:	When plasmapheresis, cytapheresis, intraoperative and postoperative blood recovery, isovolemic hemodilution or reinfusion is involved	10 years, or 6 months after the expiration date of the individual product, whichever is later							
Laboratory	Blood collection, release, transfusion and related records	Other blood related records, including autogenic or allogenic transfusions:	7 years, or 6 months after the expiration date of the individual product, whichever is later							
Laboratory	Biologics receipt and distribution record						a Detailed delivery record:	2 years		
Laboratory	Biologics receipt and distribution record						b Summary record of receipt and distribution:	5 years		
Laboratory	District laboratory supply station records						a Notification of establishment or discontinuance of station or of appointment or termination of its caretaker:	PERMANENT		
Laboratory	District laboratory supply station records						b Certificate of approval of station maintenance:	2 years		
Laboratory	District laboratory supply station records						c Periodic inventory of station supplies:	6 years		
Laboratory	Laboratory examination test results (clinical)						a Positive report of syphilis serology:	7 years		
Laboratory	Laboratory examination test results (clinical)						b Negative report of syphilis serology:	2 years		
Laboratory	Laboratory examination test results (clinical)						c Tissue pathology (including exfoliate cytology) report:	20 years		
Laboratory	Laboratory examination test results (clinical)						d Cytogenetics report:	25 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Laboratory	Laboratory examination test results (clinical)					e	Clinical, except those listed above:	7 years		
Laboratory	Forensic and toxicology test results:		6 years	These records may need to be retained as long as related case investigation records. Consult the appropriate law enforcement or investigative agency to determine if these records may be needed longer for legal purposes.						
Laboratory	Laboratory examination test results (environmental health)					a	Chemical analysis of potable water supply and testing for critical agents:	10 years		
Laboratory	Laboratory examination test results (environmental health)					b	Routine analysis of water at pool or beach (non-potable water testing):	0 after posted to summary record, or 5 years if not posted		
Laboratory	Laboratory examination test results (environmental health)					c	All other environmental health test results:	5 years		
Laboratory	Laboratory examination test results (environmental health)					d	Sampling data and other test results maintained by laboratory of public water supply facility, created pursuant to Section 5-1.49, 10NYCRR:	12 years		
Laboratory	Laboratory examination test results (environmental health)					e	Local health agency copy of any environmental analysis received from laboratory:	1 year		
Radiological Health	Approvals	and registrations relating to radiological equipment and materials				a	Approval to possess or use radioactive materials, received from New York State Department of Health, and related records:	3 years after local government, facility or program no longer possesses or uses radiological materials		
Radiological Health	Approvals	and registrations relating to radiological equipment and materials				b	Registration of radiation-producing equipment with New York State Department of Health, and related records:	2 years after expiration or renewal		
Radiological Health	Radiation-exposure records	for an individual				a	Records of diagnostic misadministrations:	3 years		
Radiological Health	Radiation-exposure records	for an individual				b	Records of therapeutic misadministrations:	6 years		
Radiological Health	Radiation-exposure records	for an individual				c	Radiation-exposure data for an individual, including records of radioactive material deposited or retained in body:	90 years after individual's date of birth		
Radiological Health	Records of occupational doses	for an individual using radiation-producing equipment or radiological materials				a	Annual or other summary occupational dose records:	90 years after individual's date of birth		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Radiological Health	Records of occupational doses	for an individual using radiation-producing equipment or radiological materials				b	Detailed occupational dose records:	0 after annual or other summary record containing this information is produced		
Radiological Health	Records of occupational doses	for an individual using radiation-producing equipment or radiological materials				c	Records of prior occupational dose:	90 years after individual's date of birth		
Radiological Health	Records of occupational doses	for an individual using radiation-producing equipment or radiological materials				d	Records of planned special exposures:	90 years after individual's date of birth		
Radiological Health	Radiation equipment testing and inspection records					a	Regulatory inspection and audit records, including master summary record and "index card":	6 years after equipment no longer in use		
Radiological Health	Radiation equipment testing and inspection records					b	Equipment accuracy testing records, including surveys, calibrations, measurements, and quality control tests:	3 years		
Radiological Health	Records of disposal, theft, loss, or excessive release of radiation					a	Records concerning theft or loss of radiation source, excessive release of radiation, or excessive exposure of individual to radiation, including documentation of notification:	PERMANENT		
Radiological Health	Records of disposal, theft, loss, or excessive release of radiation					b	Record of disposal by burial in soil:	PERMANENT		
Radiological Health	Records of disposal, theft, loss, or excessive release of radiation					c	Records of authorized transfer or receipt, or issue and return of radiation source or radioactive materials, or disposition by incineration or release into sanitary sewer system:	6 years		
Radiological Health	Radiation program safety records					a	Records documenting provisions of program:	3 years after program ceases to exist		
Radiological Health	Radiation program safety records					b	Audits and other reviews of program content and implementation:	3 years		
Radiological Health	Radiation program safety records					c	Records documenting specific instructions given to workers:	3 years		
Miscellaneous (Public Health)	Birth and death records held by health agency or facility,	including copies of birth and death certificates, and related electronic records:	0 after no longer needed	The New York State Department of Health requires these records be destroyed as soon as no longer needed. Paper copies of birth and death certificates shall be destroyed within one year of the date of their receipt. Copies of fetal death certificates must be destroyed by the end of each month, pursuant to Section 4160, Public Health Law.	This item does not cover official copies of birth and death certificates held by the health departments of Chemung, Monroe, Onondaga and Tompkins counties, which serve as registrars of vital statistics.					

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Miscellaneous (Public Health)	Medical rehabilitation service card:		6 months after completion of annual report							
Miscellaneous (Public Health)	Dental clinic records					a	Dental hygienist's clinic record:	0 after youngest person on record attains age 21		
Miscellaneous (Public Health)	Dental clinic records					b	Dental referral card, notifying clinic of work done by private dentist:	2 years		
Miscellaneous (Public Health)	Dental clinic records					c	Individual dental treatment summary record:	6 years after dental work completed, or 3 years after individual attains age 18, whichever is longer		
Miscellaneous (Public Health)	Maternal and child health reports					a	Clinic service report, including but not limited to school health service report, and report of poisoning case, except lead poisoning:	1 year		
Miscellaneous (Public Health)	Maternal and child health reports					b	Individual newborn infant metabolic defects screening report:	0 after individual attains age 21		
Miscellaneous (Public Health)	Lead poisoning reports and screening results					a	Positive results of screening, when not duplicated in case record:	Retain as long as case record.		
Miscellaneous (Public Health)	Lead poisoning reports and screening results					b	Positive results of screening, when duplicated in case record:	0		
Miscellaneous (Public Health)	Lead poisoning reports and screening results					c	Negative results of screening, when posted to summary record:	0 after posting		
Miscellaneous (Public Health)	Lead poisoning reports and screening results					d	Negative results of screening, when not posted to summary record:	6 years, or 3 years after individual attains age 18, whichever is longer		
Miscellaneous (Public Health)	Lead poisoning reports and screening results					e	Blood level determination report:	10 years		
Miscellaneous (Public Health)	Lead poisoning reports and screening results					f	Summary report of screening program:	PERMANENT		
Miscellaneous (Public Health)	Cancer study and control program records					a	Cancer case report for individual, received and used for statistical purposes:	6 years, or 3 years after individual attains age 18, whichever is longer		
Miscellaneous (Public Health)	Cancer study and control program records					b	Cancer summary record for individual:	2 years after individual dies or 90 years after individual's date of birth		
Miscellaneous (Public Health)	Negative tuberculosis X-ray films or interpretive reports	resulting from screening program:	3 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Miscellaneous (Public Health)	Individual immunization record,	including authorization and/or parental consent:	6 years, or 3 years after individual attains age 18, whichever is longer							
Miscellaneous (Public Health)	Vaccine distribution and usage records					a	Official record of distribution and usage:	25 years		
Miscellaneous (Public Health)	Vaccine distribution and usage records					b	Statistical or similar record of vaccines administered:	5 years		
Miscellaneous (Public Health)	Results of screening programs, except	lead poisoning				a	Summary reports on screening results:	PERMANENT		
Miscellaneous (Public Health)	Results of screening programs, except	lead poisoning				b	Master index or listing of participants:	50 years		
Miscellaneous (Public Health)	Results of screening programs, except	lead poisoning				c	Positive report of individual screened, including statement of consent or participation and authorization for release of information:	6 years, or 3 years after individual attains age 18, whichever is longer		
Miscellaneous (Public Health)	Results of screening programs, except	lead poisoning				d	Negative report of individual screened, including statement of consent or participation and authorization for release of information:	1 year		
Miscellaneous (Public Health)	Results of screening programs, except	lead poisoning				e	Log or other working record of screening and testing, used to compile statistics and other data:	1 year		
Miscellaneous (Public Health)	Results of screening programs, except	lead poisoning				f	Anonymous H.I.V. test results and related records:	7 years	Identifiable H.I.V. related records are covered by item nos. 743 and 745, and related laboratory records are covered by items in the Laboratory subsection.	
Miscellaneous (Public Health)	Receipt and storage records	for controlled substances (or other drugs or medication), including inventory, authorized requisition, receipt and vendor record:	5 years							
Miscellaneous (Public Health)	Usage and distribution records	for controlled substances (or other drugs or medication)		Prescription drug claims are covered under Fiscal subsection.		a	Record of withdrawal from stock, distribution and administration to patients:	5 years		
Miscellaneous (Public Health)	Usage and distribution records	for controlled substances (or other drugs or medication)		Prescription drug claims are covered under Fiscal subsection.		b	Order or prescription form used for administering to patients:	6 years		
Miscellaneous (Public Health)	Usage and distribution records	for controlled substances (or other drugs or medication)		Prescription drug claims are covered under Fiscal subsection.		c	List of narcotic registrants (persons registered to possess or prescribe controlled substances):	0 after obsolete		
Miscellaneous (Public Health)	Usage and distribution records	for controlled substances (or other drugs or medication)		Prescription drug claims are covered under Fiscal subsection.		d	Report on habitual user of narcotics:	6 years		
Miscellaneous (Public Health)	Tissue donation and transfer records					a	Master summary record (index or log) of all tissue donations and transfers:	PERMANENT		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Miscellaneous (Public Health)	Tissue donation and transfer records					b	Reproductive tissue donation records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of tissue disposal and/or use (other than those contained in patient medical records), of donated reproductive tissue in artificial insemination and/or assisted reproductive procedures which result in a live birth:	25 years		
Miscellaneous (Public Health)	Tissue donation and transfer records					c	Reproductive tissue donation records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of tissue disposal and/or use (other than those contained in patient medical records), of donated reproductive tissue in artificial insemination and/or assisted reproductive procedures which do not result in a live birth:	7 years after release or discard of tissue		
Miscellaneous (Public Health)	Tissue donation and transfer records					d	Other tissue donation and transfer records, including but not limited to information on donor and donation, referral records, tissue storage and processing records, documentation of delivery or receipt and records of tissue disposal and/or use (other than those contained in patient medical records), for tissue intended for transplantation:	7 years after transplantation or 6 months after expiration date of the tissue, whichever is longer		
Miscellaneous (Public Health)	Tissue donation and transfer records					e	Records of release of tissue or nontransplant anatomic parts for research or educational purposes:	5 years after release		
Miscellaneous (Public Health)	Organ procurement and transplant records					a	Master summary record (index or log) of all organ donations and transplants:	PERMANENT		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Miscellaneous (Public Health)	Organ procurement and transplant records						Other organ donation and transplant records, including but not limited to information on donor and donation, referral records, documentation of delivery or receipt, information on recipient and records of use (other than those contained in patient medical records), when organ is procured:	7 years after date of procurement		
Miscellaneous (Public Health)	Organ procurement and transplant records						Other organ donation and transplant records, including but not limited to information on donor and donation, referral records and explanation of why organ is not procured (other than those contained in patient medical records), when organ is not procured:	7 years after date of most recent entry in record		
Miscellaneous (Public Health)	Copies of laboratory reports,	submitted to health department by hospitals for informational purposes:	0							
Miscellaneous (Public Health)	Medical waste disposal records,	relating to generation, transportation and disposal of regulated medical waste					a Medical waste tracking records, including exception reports:	3 years after waste accepted for transport		
Miscellaneous (Public Health)	Medical waste disposal records,	relating to generation, transportation and disposal of regulated medical waste					b Records created by generators who destroy regulated medical waste on site:	3 years after date waste destroyed		
Miscellaneous (Public Health)	Medical waste disposal records,	relating to generation, transportation and disposal of regulated medical waste					c Annual reports prepared by waste generator or transporter:	3 years		
Miscellaneous (Public Health)	Individual patient utilization review or long-term care placement records,	where county health agency either conducts or monitors utilization review or placement in facilities within county:	6 years							
Miscellaneous (Public Health)	Tobacco product regulation records						a Permit issued by county to sell or distribute tobacco products, including application and related records:	6 years after renewal, denial or expiration		
Miscellaneous (Public Health)	Tobacco product regulation records						b Tobacco product distribution, sale or use violation records, including but not limited to notice of violation or hearing, appointment of hearing officer, records of fine levy and collection, appeal records, and correspondence, but excluding summary record and resulting order or agreement:	6 years after date of last entry		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Miscellaneous (Public Health)	Tobacco product regulation records						Summary record of violations, and resulting order or agreement:	0 after business no longer exists, but not less than 6 years after date of last entry		
Miscellaneous (Public Health)	Tobacco product regulation records						Waiver granted from application of specific provisions of state or local law or ordinance:	3 years after expiration of waiver or after business no longer exists		
Miscellaneous (Public Health)	Tobacco product regulation records						Tobacco distribution or sales inspection report or equivalent record, when no violation is identified:	3 years		
Miscellaneous (Public Health)	Tobacco product regulation records						Tobacco distribution, sales or use complaints, received by enforcement officer, when no violation is identified:	3 years		
Miscellaneous (Public Health)	Tobacco product regulation records						Periodic report submitted to State Department of Health:	6 years		
Miscellaneous (Public Health)	Contact notification records relative to HIV and AIDS,	maintained by county health agency pursuant to Sect. 63.8 of 10NYCRR					Records relating to individual persons, including but not limited to reports received from physicians and other mandated reporters, records documenting efforts to identify contacts, summary records that identify individual persons, and other contact notification activity records:	0 after no longer needed	Records identifying contacts collected in the course of notification activities by authorized public health officials shall not be maintained for more than one year following completion of such activity, pursuant to Sect. 63.8(j) of 10NYCRR.	For records of HIV screening programs, see item no. 792f in the Public Health section, Miscellaneous subsection. For patient treatment records, see item nos. 743 and 745 in the Public Health section, Patient Case Records and Related Materials subsection.
Miscellaneous (Public Health)	Contact notification records relative to HIV and AIDS,	maintained by county health agency pursuant to Sect. 63.8 of 10NYCRR					Summary data, statistics, reports and program activity records that do not identify individual persons:	3 years after date of most recent entry		
Miscellaneous (Public Health)	Public health incident files,	including records related to public health emergencies, communicable disease occurrences, and epidemics					Surveillance, investigation, and response records:	3 years after outbreak has abated	Appraise these records for historical significance prior to disposition. Records of unusual disease occurrences or epidemics may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.	
Miscellaneous (Public Health)	Public health incident files,	including records related to public health emergencies, communicable disease occurrences, and epidemics					Public health preparedness plans:	PERMANENT		
	Real property acquisition or sale file	for property owned by local government including but not limited to copy of deed, copy of appraisal or valuation, copy of site or plot plan, photographs, recommendation or justification for acquisition or sale, approval for acquisition or sale, closing statement, memoranda and correspondence					Copy of site or plot plan, photographs, and recommendation or justification for acquisition or sale:	PERMANENT		

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	Real property acquisition or sale file	for property owned by local government including but not limited to copy of deed, copy of appraisal or valuation, copy of site or plot plan, photographs, recommendation or justification for acquisition or sale, approval for acquisition or sale, closing statement, memoranda and correspondence					b Other records in file, including but not limited to copy of deed, copy of appraisal or valuation, closing statement, approval for acquisition or sale, memoranda and correspondence:	6 years after property no longer owned by local government	This does not apply to a sale of real property tax liens conducted by the local government. See the Taxation and Assessment section.	
	Master summary record	(book, log or register) recording acquisition or sale of property by local government:	PERMANENT							
	Official copy of sale or auction list, and notice or advertisement of sale of real property by local government:		PERMANENT							
	Capital construction or public improvement project file,	including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements		"Capital projects" are defined in Section 2.00, Local Finance Law; Section 99-g, General Municipal Law; Section 351, County Law; Section 103, Town Law; and Section 5-522, Village Law.			a Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; and significant correspondence:	6 years after building or facility no longer exists or is no longer owned by local government	Appraise these records for historical significance prior to disposition. Records for important projects or historic structures have historical value and should be retained permanently. Contact the State Archives for additional advice.	
	Capital construction or public improvement project file,	including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements		"Capital projects" are defined in Section 2.00, Local Finance Law; Section 99-g, General Municipal Law; Section 351, County Law; Section 103, Town Law; and Section 5-522, Village Law.			b Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, performance guarantees, non-significant change orders; routine correspondence and detailed construction specifications:	6 years after last entry in project file		
	Capital construction or public improvement project file,	including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements		"Capital projects" are defined in Section 2.00, Local Finance Law; Section 99-g, General Municipal Law; Section 351, County Law; Section 103, Town Law; and Section 5-522, Village Law.			c Unsuccessful bids, to which contract is not awarded:	6 years		
	Capital construction or public improvement project file,	including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements		"Capital projects" are defined in Section 2.00, Local Finance Law; Section 99-g, General Municipal Law; Section 351, County Law; Section 103, Town Law; and Section 5-522, Village Law.			d All records, when project is proposed but not undertaken:	6 years after last entry	For plans, maps, designs, sketches, designs, architectural drawings and photographs of buildings and facilities, see item no. 807, below.	
	Official plans, maps, designs, architectural drawings, and photographs	for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project					a Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant building or other facility:	PERMANENT		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Official plans, maps, designs, architectural drawings, and photographs	for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project					b Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for other than significant building or other facility:	6 years after building or facility no longer exists or is no longer owned by local government		
	Official plans, maps, designs, architectural drawings, and photographs	for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project					c Mechanical, electric and other detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings:	6 years after building or facility no longer exists or is no longer owned by local government		
	Official plans, maps, designs, architectural drawings, and photographs	for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project					d Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:	6 years after completion of project	Some of these non-graphic documents may need to be retained for 6 years after the building or other facility no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.	
	Official plans, maps, designs, architectural drawings, and photographs	for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project					e Template or other similar automated framework or reference files used in conjunction with more specific automated design files:	Retain as long as the related specific automated design files are retained		
	Official plans, maps, designs, architectural drawings, and photographs	for buildings or other facilities owned by local government, including index, and also including design file for capital construction or renovation project					f Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:	Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of		
	Draft or intermediary plans, maps, designs, sketches or architectural drawings,	including explanatory textual files, tracings and other than final or "as built" automated design files:	0 after no longer needed	Some of these design documents may need to be retained for 6 years or longer, possibly as long as the building or other facility exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.						
	Maintenance, testing, service, operational and repair records	for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure					a Cumulative summary records:	6 years after building or other facility no longer in use		
	Maintenance, testing, service, operational and repair records	for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure					b Individual detailed report or related record, such as work request, work order, personnel deployment record, preventive maintenance schedules and records of work completed, when posted to cumulative summary record:	6 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Maintenance, testing, service, operational and repair records	for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure					Individual report or related record, such as work request, work order, personnel deployment record and records of work completed, when not posted to cumulative summary record:	6 years after building or other facility no longer in use		
	Maintenance, testing, service, operational and repair records	for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure					Log, maintenance schedule or similar record of ongoing activity:	6 years after last entry		
	Maintenance, testing, service, operational and repair records	for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure					Descriptive information on specific equipment or component parts:	6 years after equipment or part no longer in use		
	Maintenance, testing, service, operational and repair records	for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure					Descriptive information on maintenance personnel, vendors or contractors:	1 year after superseded or obsolete		
	Maintenance, testing, service, operational and repair records	for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure					Inventories of parts, materials and supplies needed for maintenance and repairs:	6 years		
	Maintenance, testing, service, operational and repair records	for buildings, grounds, and other facilities or their mechanical, electrical systems or other infrastructure					Requests for inspection, repair or service, when no work is performed and no funds expended:	1 year	For plans, designs and schematic drawings of buildings and facilities, including their systems and component parts, see item no. 807.	
	Reports and studies relating to maintenance, testing, service, operation and repairs	for buildings and other facilities or their mechanical, electrical systems or other infrastructure:	6 years	Some of these reports may need to be retained longer for long-term facility management purposes, such as for 6 years after building or other facility no longer in use. Some may even have permanent historical or other research value. Contact the State Archives for additional information.						
	Building or facility security records,	including but not limited to visitor's register and watchman's or automated security system or false alarm reports, and records of issuance and cancellation of building or room keys or passes:	3 years or, for records documenting issuance or cancellation of keys or passes, 3 years after keys or passes are cancelled or revoked	This item does not cover airport security records, which are covered by item no. 1061 in the Transportation and Engineering section, Airport subsection.						
	Public facility use file,	including but not limited to requests, correspondence, fiscal records and authorizations:	6 years	Appraise these records for historical significance prior to disposition. In some cases, facility use files may document significant attempts by the local government to broaden its support base by reaching out to community groups.						
	Fire safety records,	including but not limited to fire safety inspection reports, fire drill report, fire alarm records, fire inspection reports and fire investigation reports		Records maintained by the public safety agency which performs official fire safety functions are covered by item nos. 1208, 1211 and 1212 in the Public Safety section, Fire Fighting and Prevention subsection.			a Fire safety inspection reports:	3 years, or until all violations noted on report are corrected, whichever is later		
	Fire safety records,	including but not limited to fire safety inspection reports, fire drill report, fire alarm records, fire inspection reports and fire investigation reports		Records maintained by the public safety agency which performs official fire safety functions are covered by item nos. 1208, 1211 and 1212 in the Public Safety section, Fire Fighting and Prevention subsection.			b Records other than fire safety inspection reports:	3 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Property inventory records,	covering buildings, facilities, vehicles, machinery and equipment, including "fixed assets" records:	6 years after superseded by updated inventory, or 6 years after replacement, sale, or discontinuance of use of all property listed, whichever is sooner							
	Inventory of supplies:		6 years							
	Public property sale or discard records,	except real property, including but not limited to description of property, bids or offers, and receipt of deed of gift:	6 years							
	Maintenance, testing, service, operational and repair records	for equipment or vehicle, but not covering buildings and other facilities or their mechanical, electrical systems or other infrastructure		Purchase records are covered by item no. 547 in Fiscal section and warranty records are covered by item no. 818 in this section.			a Cumulative summary record for vehicle or equipment:	6 years after vehicle or equipment no longer in use		
	Maintenance, testing, service, operational and repair records	for equipment or vehicle, but not covering buildings and other facilities or their mechanical, electrical systems or other infrastructure		Purchase records are covered by item no. 547 in Fiscal section and warranty records are covered by item no. 818 in this section.			b Individual report when posted to cumulative summary record:	6 years		
	Maintenance, testing, service, operational and repair records	for equipment or vehicle, but not covering buildings and other facilities or their mechanical, electrical systems or other infrastructure		Purchase records are covered by item no. 547 in Fiscal section and warranty records are covered by item no. 818 in this section.			c Individual report when not posted to cumulative summary record:	6 years after vehicle or equipment no longer in use		
	Maintenance, testing, service, operational and repair records	for equipment or vehicle, but not covering buildings and other facilities or their mechanical, electrical systems or other infrastructure		Purchase records are covered by item no. 547 in Fiscal section and warranty records are covered by item no. 818 in this section.			d Maintenance or repair log or similar record:	6 years after last entry		
	Maintenance, testing, service, operational and repair records	for equipment or vehicle, but not covering buildings and other facilities or their mechanical, electrical systems or other infrastructure		Purchase records are covered by item no. 547 in Fiscal section and warranty records are covered by item no. 818 in this section.			e Reports and studies relating to maintenance, testing, service, operation and repairs for equipment or vehicles:	6 years		
	Maintenance, testing, service, operational and repair records	for equipment or vehicle, but not covering buildings and other facilities or their mechanical, electrical systems or other infrastructure		Purchase records are covered by item no. 547 in Fiscal section and warranty records are covered by item no. 818 in this section.			f Requests for inspection, repair or service, when no work is performed and no funds expended:	1 year		
	Specifications, warranty and descriptive information	received from vendor for vehicle or equipment:	6 years after vehicle or equipment no longer in use							
	Vehicle routing, scheduling and usage records,	including automated system used to schedule and assign routes of service and maintenance vehicles		This does not apply to emergency use of law enforcement, fire or other emergency vehicles, which are covered by items in the Public Safety section. For usage records covering buses and other public transportation vehicles, see the Transportation and Engineering section, Public Transportation subsection.	This does not apply to school bus routing records. See Transportation section, School Bus Routing and Scheduling subsection.		a Detailed data file containing information such as on vehicle stops, usage, locations at specific times or intervals:	0 after no longer needed	Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. It is recommended that local officials store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.	
	Vehicle routing, scheduling and usage records,	including automated system used to schedule and assign routes of service and maintenance vehicles		This does not apply to emergency use of law enforcement, fire or other emergency vehicles, which are covered by items in the Public Safety section. For usage records covering buses and other public transportation vehicles, see the Transportation and Engineering section, Public Transportation subsection.	This does not apply to school bus routing records. See Transportation section, School Bus Routing and Scheduling subsection.		b Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:	6 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Vehicle routing, scheduling and usage records,	including automated system used to schedule and assign routes of service and maintenance vehicles		This does not apply to emergency use of law enforcement, fire or other emergency vehicles, which are covered by items in the Public Safety section. For usage records covering buses and other public transportation vehicles, see the Transportation and Engineering section, Public Transportation subsection.	This does not apply to school bus routing records. See Transportation section, School Bus Routing and Scheduling subsection.	c	Logs, schedule, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which contain information of legal or fiscal value:	6 years		
	Vehicle routing, scheduling and usage records,	including automated system used to schedule and assign routes of service and maintenance vehicles		This does not apply to emergency use of law enforcement, fire or other emergency vehicles, which are covered by items in the Public Safety section. For usage records covering buses and other public transportation vehicles, see the Transportation and Engineering section, Public Transportation subsection.	This does not apply to school bus routing records. See Transportation section, School Bus Routing and Scheduling subsection.	d	Logs, schedules, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which do not contain information of legal or fiscal value:	0 after no longer needed		
	Vehicle routing, scheduling and usage records,	including automated system used to schedule and assign routes of service and maintenance vehicles		This does not apply to emergency use of law enforcement, fire or other emergency vehicles, which are covered by items in the Public Safety section. For usage records covering buses and other public transportation vehicles, see the Transportation and Engineering section, Public Transportation subsection.	This does not apply to school bus routing records. See Transportation section, School Bus Routing and Scheduling subsection.	e	Geographic Information System (G.I.S.) street/road data file used for vehicle routing scheduling, derived from official G.I.S. data maintained by other unit of local government:	0 after no longer needed		
	Consumption and dispensing records	for fuel, oil, or similar products used by publicly owned vehicles or equipment:	6 years	This item does not cover fuel (jet fuel and service vehicle fuel), de-icer or other chemical storage and dispensing records for airports, which are covered by item no. 1066 in the Transportation and Engineering section, Airport subsection.						
	Request for services or supplies,	including stockroom supplies, forms and publications, duplication, or use of any vehicle or equipment				a	When a chargeback or fee is involved:	6 years		
	Request for services or supplies,	including stockroom supplies, forms and publications, duplication, or use of any vehicle or equipment				b	When no chargeback or fee is involved:	0 after no longer needed		
	Federal Communications Commission (F.C.C.) private radio licensing records					a	Original application and other related records not created for renewal applications:	5 years after final termination of license or denial of application		
	Federal Communications Commission (F.C.C.) private radio licensing records					b	Renewal application and related records, including copy of license:	5 years after renewal or termination of license or denial of application		
	Federal Communications Commission (F.C.C.) private radio licensing records					c	Request for frequency data research:	1 year		
	Federal Communications Commission (F.C.C.) private radio licensing records					d	Listing of locations of radios using local government private radio frequency:	0 after superseded or obsolete		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Petroleum bulk storage records					a	Registration, including approved application and related records:	7 years after expiration or termination of registration or 3 years after removal of storage tanks and piping, whichever is later		
	Petroleum bulk storage records					b	Monthly and ten-year mandatory inspection reports:	10 years		
	Petroleum bulk storage records					c	Daily and other periodic inspection reports:	3 years		
	Petroleum bulk storage records					d	Test certification for underground storage tank:	7 years		
	Petroleum bulk storage records					e	Site assessment and related records, required when an underground storage tank is abandoned:	PERMANENT		
	Petroleum bulk storage records					f	Records relating to leakage and spillage:	PERMANENT		
	Petroleum bulk storage records					g	Inventory monitoring records:	5 years		
	Hazardous waste generation records					a	Individual load delivery and other detailed records, including manifest form:	3 years after waste accepted by transporter		
	Hazardous waste generation records					b	Annual and exception reports:	3 years after due date of report		
	Hazardous waste generation records					c	Test results and waste analyses:	3 years after date waste was removed	This item covers records of local governments which generate hazardous waste but do not operate programs to collect and dispose of hazardous waste. For governments that operate such programs, item no. 455 in the Environmental Health section, Environmental Facilities: Solid Waste Management Facilities subsection, covers records of the generation, collection and disposal of hazardous waste.	
	Building rehabilitation and reconstruction project files					a	When asbestos is installed, removed, encapsulated, applied, distributed or otherwise involved:	30 years		
	Lead or copper content testing and remediation files	covering lead or copper content in drinking water of public facilities				a	Water sample test results and related records, when lead or copper level exceeds the action level as defined in Section 5-1.41, State Sanitary Code:	50 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Lead or copper content testing and remediation files	covering lead or copper content in drinking water of public facilities					b Water sample test results and related records, when lead or copper level does not exceed the action level as defined in Section 5-1.41, State Sanitary Code:	10 years		
	Lead or copper content testing and remediation files	covering lead or copper content in drinking water of public facilities					c Records of remediation by replacement of lead or copper plumbing:	6 years after building no longer exists		
	Lead or copper content testing and remediation files	covering lead or copper content in drinking water of public facilities					d Records of remediation by elimination or replacement of water cooler not connected to plumbing:	6 years after cooler eliminated or replaced		
	Pesticide (including herbicide, rodenticide and disinfectant) application record	(showing kind and quantity used, dosage rate, method of application, target organism, area and time of application):	3 years	Records of incidents of possible exposure to pesticides (including herbicides, rodenticides and disinfectants), and other records created because pesticides are considered "toxic substances," are covered by item no. 654 in the Personnel/Civil Service section.						
	Inventory of pesticides	(including herbicides, rodenticides and disinfectants) maintained by local government:	40 years after superseded or obsolete							
	Annual report of pesticides	(including herbicides, rodenticides and disinfectants) used, submitted to New York State Department of Environmental Conservation:	2 years							
	Application for business/agency pesticide registration,	including all related records:	1 year after superseded or invalid							
	Records relating to certification for individual certified commercial applicator,	including copy of application, records of training in use of pesticides, examination results, copy of certificate and recertification records:	6 years							
	Permits and approvals	from state or county health department to operate pool or beach:	3 years after denial or expiration							
	Reports of pool or beach operation and inspection:		21 years							
	Facility inmate work crew records,	covering crews from state or county correctional facilities performing work outside the facilities for local government or not-for-profit organization, including but not limited to request for work crew and site visit report:	2 years							

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Self-evaluation records,	required under Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements					a Voluntary compliance plan for facility, including list of persons consulted, description of areas examined, transition plan, list of problems identified and description of modifications anticipated and made:	PERMANENT		
	Self-evaluation records,	required under Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements					b Copies of work orders, progress notes and other supporting documentation:	1 year after modifications completed		
	Inspection reports, reviews and audits	(internal and external) created relative to the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements:	6 years after building or facility involved is no longer in use							
	Individual case records,	filed under the provisions of the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements, including but not limited to complaint, charge or request for reasonable accommodation, medical reports, responses, records of appeals, correspondence and internal memoranda, records documenting work done in response to complaint or request, and documentation of final resolution					a When complaint or request is filed by officer or employee of the local government involved:	3 years after resolution of case and termination of any reasonable accommodation provided		
	Individual case records,	filed under the provisions of the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements, including but not limited to complaint, charge or request for reasonable accommodation, medical reports, responses, records of appeals, correspondence and internal memoranda, records documenting work done in response to complaint or request, and documentation of final resolution					b When complaint or request is filed by person other than officer or employee of the local government involved:	3 years after date of final entry in record, but not less than 3 years after person involved attains age 18		
	Master summary record of all cases	under the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations or requirements:	PERMANENT							
	Video or audio recordings maintained for security purposes						a Recording containing incidents warranting retention for administrative or other potential legal uses:	3 years, but not until any minor has attained age 21		
	Video or audio recordings maintained for security purposes						b Recording not containing incidents warranting retention for administrative or potential legal uses:	0 after no longer needed		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Records relating to protection of underground facilities						Notice of or request for excavation, received by local government from excavator, pursuant to 16NYCRR, a Section 753-5.2 (Dig Safely NY), including notice of postponement or cancellation and notice of discovery of unknown facility:	4 years		
	Records relating to protection of underground facilities						Master list or central registry of operators of underground facilities located within borders of county or municipality:	0 after superseded or obsolete		
	Records filed by contractor or sub-contractor with local government related to public works project,	pursuant to Section 220 (3-a), Labor Law, including but not limited to copy or abstract of payroll, classification of workers employed on a project, and statement of work to be performed by each classification:	5 years after contract completion							
	Water supply system records,	covering water supply system (such as private well) maintained by local government for its own use		Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.			Permits and approvals necessary to establish or operate system, including supporting data and other related records:	PERMANENT		
	Water supply system records,	covering water supply system (such as private well) maintained by local government for its own use		Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.			Original entry and intermediary charts, graphs and other data collected relating to water usage, water levels and water quality:	10 years		
	Water supply system records,	covering water supply system (such as private well) maintained by local government for its own use		Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.			Reports and related data collection and other summary records showing long-term trends and developments:	PERMANENT		
	Water supply system records,	covering water supply system (such as private well) maintained by local government for its own use		Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.			Reports and related records not showing long-term trends and developments:	10 years		
	Water supply system records,	covering water supply system (such as private well) maintained by local government for its own use		Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.			Reports and test results on unsatisfactory water supply samples:	20 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Water supply system records,	covering water supply system (such as private well) maintained by local government for its own use		Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.			f Log recording summary information collected at periodic intervals such as changes in pressure and level, proportion of chemicals present, operational changes and problems:	PERMANENT		
	Water supply system records,	covering water supply system (such as private well) maintained by local government for its own use		Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental Facilities: General and Environmental Facilities: Public Water Supply subsections.			g Log recording all or routine information such as changes in pressure and level, proportion of chemicals present, operational changes and problems:	5 years	If no logs containing summary information are generated, local governments may wish to retain all or some records covered by part "g" of this item longer, for both long-term administrative use and for potential research purposes.	
	Energy consumption monitoring records	showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility					a Detailed data collected from sensors or monitors, and detailed reports generated from such data:	0 after no longer needed	Some of this data and these detailed reports may need to be retained for 6 years for energy consumption trending analysis or energy consumption audit purposes. The State Archives recommends that local governments consult the Office of the State Comptroller or their own auditor to determine which data may have long-term value.	
	Energy consumption monitoring records	showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility					b Equipment maintenance, testing and service records, except detailed records of routine activities:	6 years after equipment no longer in use		
	Energy consumption monitoring records	showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility					c Detailed records of routine maintenance, testing and service:	6 years		
	Energy consumption monitoring records	showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility					d Reports relating to energy consumption and environmental conditions, including reports of problems and corrective actions taken, summary reports of environmental conditions, and reports showing long-term energy consumption trends, along with accompanying charts, graphs and data tables:	6 years	Appraise these records for historical or other long-term significance prior to disposition. Records showing long-term trends in energy use may need to be retained permanently, or at least 6 years after the building or other facility is no longer in use. Contact the State Archives for additional advice.	
Real Property Taxation/Assessment Systems	Master Summary record of real property transfers within area served by local government:		0 after no longer needed, but not less than 6 years	Appraise these records for historical significance. These records, compiled from real property transfer reports received from the county, may have continuing value for historical or other research. Contact the State Archives for additional advice.						
Valuation and Assessment	Equalization rate records						a Certificate of final equalization rate, as determined by New York State Office of Real Property Tax Services:	PERMANENT		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Valuation and Assessment	Equalization rate records						Equalization rate determination records other than certificate of final rate, including but not limited to notice of tentative rate, data submitted and reports submitted to New York State Office of Real Property Tax Services:	3 years		
Valuation and Assessment	Copy of tax map	held by local government which does not conduct assessments, where official copy is held by county or municipality:	0 after no longer needed							
Assessment Roll/Tax Roll	Working papers or other intermediary records	used in preparation of, or in posting changes to, assessment roll or tax roll, including but not limited to assessor's notes, Record of Taxable Status and automated data file:	3 years after filing of roll							
Assessment Roll/Tax Roll	Assessment and tax rolls	(including records relating to correction of errors on assessment and/or tax rolls)					b Final assessment roll:	10 years after filing	The official copy of the final assessment roll is filed with the county, with copies of the roll also filed with the constituent municipalities.	
Tax Collection	Tax collection records						a Tax collection data file, returned copy of tax bill, copy of tax bill sent by assessing entity, copy of receipt issued taxpayer, collector's daily accounts, receiving office tapes, records of overpayment, rebate or refund, record or notice of payment of post-due taxes, report on tax monies collected, request for extension of time to collect taxes, and similar records:	6 years	Documentation of payment of school taxes must be retained permanently as it may affect the title to real property. Usually this information will be found on the warrant tax roll (item no. 1045d, above). If the warrant copy of the tax roll does not contain this information, then copies of paid tax bills or equivalent records must be retained permanently to document this tax payment information.	
Tax Collection	Tax collection records						b Tax collection history data, containing summary tax collection history information, created from tax collection data file:	0 after no longer needed	Appraise these records for historical significance prior to disposition. This data may be useful for a number of years for convenience of reference, and may possibly have long-term historical value.	
Tax Collection	Tax collection records						c Documentation of regular updates or corrections made to tax collection data file:	6 years		
Tax Collection	Tax escrow account records						a Notification of creation, transfer or termination of escrow account, when original record is maintained by county:	1 year after transfer or termination of account		
Tax Collection	Tax escrow account records						c List of tax escrow accounts:	1 year after superseded or obsolete		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
Miscellaneous (Taxation and Assessment)	Informational listing or index	used in relation to taxation and assessment, including but not limited to lists of property owners, real estate transfers, address changes, exempt properties, filed grievances, tax redemptions, notice of bankruptcy or foreclosure proceeding (including from U.S. bankruptcy courts), and billing addresses:	1 year after superseded or obsolete							
Miscellaneous (Taxation and Assessment)	Records of apportionment of tax monies						a Annual certificate of apportionment sent to municipality or district:	PERMANENT		
Miscellaneous (Taxation and Assessment)	Records of apportionment of tax monies						b Apportionment records, except annual certificates:	6 years		
Miscellaneous (Taxation and Assessment)	Tax search record,	including but not limited to record of searches conducted, abstract of search results, correspondence and memoranda:	6 years							
Miscellaneous (Taxation and Assessment)	Tax levy and tax rate determination records,	including computation of constitutional tax margin and statement filed with State Comptroller's Office:	6 years							
	Medicare, Medicaid or insurance carrier claim records,	including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received:	10 years							
	Insurance and reimbursement related reports,	including Medicare or Medicaid cost report, certified uniform financial or statistical report, and all necessary supporting documentation:	10 years							
	Support collection accounting records						a Official record of account:	6 years after case closed		
	Support collection accounting records						b Original entry and intermediary records, used in posting information to official account record:	6 years		
	Support collection accounting records						c Fiscal and statistical reports relating to support collection:	6 years		

Subsection title	Record series title	Record series description	Record series retention period	Record series note 1	Record series note 2	subSerNumber	Subseries description	Subseries retention period	Subseries note 1	Subseries note 2
	Social services case management system reports,	produced from manual or automated case management or other systems used to monitor and report on service and non-service cases, other than reports which are specific to individual cases or are covered by other items in this section					b When not needed for audit or other fiscal purposes:	0 after no longer needed	Social services case management and related systems generate numerous daily, weekly, monthly, quarterly and other reports. Some of these reports are needed for six years for fiscal audit and related purposes. Other reports can be destroyed after shorter periods of time, such as after they are superseded by subsequent reports, after the preparation of related reports, after passage of specific time periods, or after they are no longer needed for administrative purposes. For further information on determining appropriate retention periods for specific reports, contact the New York State Office of Temporary and Disability Assistance and the New York State Office of Children and Family Services.	
	Rape crisis intervention records						a Individual client consultation case record of rape crisis intervention program:	6 years after last entry, or 3 years after any minor involved attains age 18, whichever is later		
	Rape crisis intervention records						b Master summary record (log or index) to client consultations or other activities:	PERMANENT		
	Child fatality investigative reports and records						a Record copy of report concerning the death of a child whose care and custody or guardianship have been transferred to an authorized agency or whose death has been reported to the State Central Register, received from the NYS Office of Children and Family Services or prepared by a local or regional fatality review team pursuant to Sections 20(5) and 422-b, Social Services Law:	PERMANENT		
	Child fatality investigative reports and records						b Non-record copies of child fatality investigative reports, which are provided to the county legislature and county executive:	0 after no longer needed		

RESOLUTION - 07

Adopting the attached **Mission Statement, Performance Measures and additional information to be submitted on behalf of New York City Health and Hospitals Corporation (“NYC Health + Hospitals”)** for Fiscal Year 2023 to Office of the State Comptroller’s Authorities Budget Office (the “ABO”) as required by the Public Authorities Reform Act of 2009 (the “PARA”).

WHEREAS, the Public Authorities Accountability Act was amended by the PARA to add additional reporting and oversight features; and

WHEREAS, the PARA requires local public authorities such as NYC Health + Hospitals to adopt each year a mission statement and performance measures to assist NYC Health + Hospitals in determining how well it is carrying out its mission; and

WHEREAS, the ABO requires reporting of NYC Health + Hospitals’ mission and performance measures, as well as responses to certain questions on a form provided by that office and requires that the NYC Health + Hospitals Board of Directors read and understand the mission statement and the responses provided to the ABO; and

WHEREAS, NYC Health + Hospitals will post on its website the Mission Statement as hereby adopted; and

WHEREAS, the attached Mission Statement, Performance Measures and additional information supplied on the required ABO form will, once read, understood and adopted, comply with the requirements of the PARA as stated above and reflect the mission of NYC Health + Hospitals and the performance measures being used to measure its achievement of its mission;

NOW, THEREFORE, be it

RESOLVED that the attached Mission Statement, Performance Measures and additional information supplied on the required Office of the State Comptroller’s Authorities Budget Office form are hereby adopted as required by the Public Authorities Reform Act of 2009.

**AUTHORIZATION TO MAKE ANNUAL FILING
PURSUANT TO THE PUBLIC AUTHORITIES REFORM ACT**

Executive Summary

NYC Health + Hospitals is required by the Public Authorities Reform Act of 2009 (the “**PARA**”) to adopt and to report to the New York State Office of the State Comptroller’s Authority Budget Office (the “**ABO**”) each year a mission statement and performance measures to assist NYC Health + Hospitals to assess its success in carrying out its mission. The ABO also requires completion of a specific form as part of the annual reporting. Attached is the Mission Statement, Performance Measures and the responses to complete the ABO form, all of which require the Board’s adoption.

NYC Health + Hospitals has made annual filings in compliance with the PARA since its adoption. There have been minor variations in the Mission Statement over these years but all have been refined versions of the purposes of NYC Health + Hospitals as expressed in its enabling act and in its By-Laws. The Mission Statement on the ABO form is the version that will be posted on the NYC Health + Hospitals’ website.

September 2023

AUTHORITY MISSION STATEMENT AND PERFORMANCE MEASUREMENTS

To extend equally to all New Yorkers, regardless of their ability to pay, comprehensive health services of the highest quality in an atmosphere of humane care, dignity and respect; To promote and protect, as both innovator and advocate, the health, welfare and safety of the people of the City of New York; To join with other health workers and with communities in a partnership which will enable each of our institutions to promote and protect health in its fullest sense -- the total physical, mental and social well-being of the people.

ADDITIONAL QUESTIONS:

- 1. Have the board members acknowledged that they have read and understood the mission of the public authority?**

Yes.

- 2. Who has the power to appoint the management of the public authority?**

Pursuant to the legislation that created NYC Health + Hospitals, the President is chosen by the members of the Board of Directors from persons other than themselves and serves at the pleasure of the Board. (Unconsolidated Law, section 7394)

- 3. If the Board appoints management, do you have a policy you follow when appointing the management of the public authority?**

The Governance Committee to the Board of Directors has, among its responsibilities, the duty to receive, evaluate and report to the Board of Directors with respect to the submissions of appointments of corporate officers.

- 4. Briefly describe the role of the Board and the role of management in the implementation of the mission.**

In addition to standing and special committees which have defined subject matter responsibilities and which meet monthly and or quarterly, the Board of Directors meets monthly to fulfill its responsibility as the governing body of NYC Health + Hospitals and its respective facilities as required by law and regulation by the various regulatory and oversight entities that oversee NYC Health + Hospitals. Corporate by-laws and established policies outline the Board's participation in the oversight of the functions designated to management in order to ensure that NYC Health + Hospitals can achieve its mission in a legally compliant and fiscally responsible manner.

- 5. Has the Board acknowledged that they have read and understood the responses to each of these questions?**

Yes.

AUTHORIZATION TO MAKE ANNUAL FILING PURSUANT TO THE PUBLIC AUTHORITIES REPORT ACT

Board of Directors Meeting
Thursday, September 28, 2023

Jeremy Berman – Deputy General Counsel
Matthew Siegler – Senior Vice President, Managed
Care & Patient Growth

Board of Directors Consideration

- Adopting the attached **Mission Statement, Performance Measures** and additional information to be submitted on behalf of **New York City Health and Hospitals Corporation (“NYC Health + Hospitals”)** for **Fiscal Year 2023** to Office of the State Comptroller’s Authorities Budget Office (the “ABO”) as required by the Public Authorities Reform Act of 2009 (the “PARA”).

Public Authorities Reform Act of 2009 Requirements

- the Public Authorities Accountability Act was amended by the PARA to add additional reporting and oversight features
- the PARA requires local public authorities such as NYC Health + Hospitals to adopt each year a mission statement and performance measures to assist NYC Health + Hospitals in determining how well it is carrying out its mission
- the ABO requires reporting of NYC Health + Hospitals' mission and performance measures, as well as responses to certain questions on a form provided by that office and requires that the NYC Health + Hospitals Board of Directors read and understand the mission statement and the responses provided to the ABO and publicly posted on its website

System Dashboard

REPORTING PERIOD - Q2 FY23 (October 1 through Dec 31 | 2022)

	EXECUTIVE SPONSOR	REPORTING FREQUENCY	TARGET	ACTUAL FOR PERIOD	VARIANCE TO TARGET	PRIOR PERIOD	PRIOR YEAR SAME PERIOD*	
QUALITY AND OUTCOMES								
1	Post Acute Care All Cause Hospitalization Rate (per 1,000 care days)	CDO+SVP PAC	Quarterly	1.6	2.2	-0.6	2.1	1.96
2	Follow-up appointment kept within 30 days after behavioral health discharge	SVP CMD + SVP CDO	Quarterly	50%	48%	-2%	53.4%	43.2%
3	HgbA1c control < 8	SVP AMB + VP CPHO	Quarterly	67.6%	68.7%	1.1%	67.4%	66.4%
4	% Left without being seen in the ED	SVP CMD + SVP CDO	Quarterly	4.0%	5.0%	-1%	4.22%	5.23%
5	Integration of Bio Medical devices	SVP CIO	Quarterly-RETIRED METRIC	100%			-	100%
CARE EXPERIENCE								
6	Inpatient care - overall rating (top box)	SVP CDO + SVP CNE	Quarterly	66.30%	60.2%	-6.1%	61.7%	62.88%
7	Ambulatory care (medical practice) recommended provider office (top box)	SVP CDO + SVP AMB	Quarterly	87.00%	85.7%	-1.3%	84.23%	84.43%
8	MyChart Activations	SVP CDO + SVP AMB	Quarterly	60%	61%	1%	66%	72%
FINANCIAL SUSTAINABILITY								
9	Patient care revenue/expenses	SVP CFO + SVP MC	Quarterly	65%	74.2%	9.2%	73.3%	73.2%
10	% of Uninsured patients Enrolled in Health Insurance Coverage or Financial Assistance	SVP CFO + SVP MC	Quarterly	90%	86%	-4%	88%	86%
11	% of M+ medical spend at H+H	SVP MC	Quarterly	45%	42.7%	-2.3%	42%	40.17%
12	Total AR days per month (Outpatient ,Inpatient)	SVP CFO	Quarterly	45	48.8	3.8	49.7	60
13	Post Acute Care Total AR days(12 months)	CFO	Quarterly	50	48.0	2	49.0	40.6
14	Enterprise Data Center Migration progress	SVP CIO	Quarterly	100%	100%	0%	100%	100%
ACCESS TO CARE								
15	Unique primary care patients seen in last 12 months	SVP AMB	Quarterly	405,000	416,669	11,669	401,850	413,362
16	Number of e-consults completed/quarter	SVP AMB	Quarterly	95,100	99,183	4,083	105,478	96,055
17	NYC Care	SVP AMB	Quarterly	100,000	108,672	8,672	106,520	114,496
CULTURE OF SAFETY								
18	Total Wellness Encounters	SVP CDO + SVP CNE	Quarterly	600	1,903	1,303	1,664	641
RACIAL AND SOCIAL EQUITY								
19	% of New Physician Hires being underrepresented minority (URM)	SVP CMD + SVP HR	Quarterly		See slide 9			-
20	New measure: # of Equity Lenses Applied to PI Projects	CDO	Quarterly (data will lag)	40	16 (partial)	-24	42	2
21	% of Total Procurement spend on MWBE*	SVP SUPPLY CHAIN + SVP CFO	Quarterly	30%	To be reported for close of FY			-

System Dashboard Glossary

REPORTING PERIOD - Q2 FY23 (October 1-December 31 | 2022)

		DESCRIPTION
QUALITY AND OUTCOMES		
1	Post Acute Care All Cause Hospitalization Rate (per 1,000 care days)	Total # residents transferred from a PAC facility to hospital with outcome of admitted, inpatient/admitted over total # of resident care days
2	Follow-up appointment kept within 30 days after behavioral health discharge	Follow-up appointment kept with-in 30 days after behavioral health discharge
3	HgbA1c control < 8	Population health measure for diabetes control
4	% Left without being seen in the ED	Measure of ED efficiency and safety
5	Integration of Bio Medical devices	Integration of strategic biomedical devices so that our nurses, doctors and ancillary staff are acting on the most up to date clinical information and are limiting non value added work. Our staff will be freed from data entry and able to spend more time on clinical care.
CARE EXPERIENCE		
6	Inpatient care - overall rating (top box)	Aggregate system-wide Acute Care/Hospital score HCAHPS Rate the Hospital Q-10 (Top Box)
7	Ambulatory care (medical practice) recommended provider office (top box)	Aggregate system-wide Acute Care/Hospital score HCAHPS Rate the Hospital Q-10 (Top Box)
8	MyChart Activations	Number of patients who have activated a MyChart account
FINANCIAL SUSTAINABILITY		
9	Patient care revenue/expenses	Measures patient care revenue growth and expense reduction adjusting for changes in city/state/federal policy or other issues outside H+H management's control
10	% of Uninsured patients Enrolled in Health Insurance Coverage or Financial Assistance	Measures effectiveness of financial counselling and registration processes in connecting patients to insurance or financial assistance
11	% of M+ medical spend at H+H	Global measure of Metro Plus efforts to steer patient volume to H+H, removes pharmacy and non-medical spend
12	Total AR days per month (Outpatient ,Inpatient)	Total accounts receivable days, excluding days where patient remains admitted (lower is better)
13	Post Acute Care Total AR days(12 months)	Total accounts receivable days (lower is better)
14	Data Center Migration progress	Measures milestones achieved in major information technology project
ACCESS TO CARE		
15	Unique primary care patients seen in last 12 months	Measure of primary care growth and access; measures active patients only
16	Number of e-consults completed/quarter	Top priority initiative and measure of specialty access
17	NYC Care	Total enrollees in NYC Care program
CULTURE OF SAFETY		
18	Total Wellness Encounters *	This is an aggregate measure that includes the following: Number of 1:1 debriefs, Number of group debriefs, Number of combined support debriefs, & Number of wellness events

System Dashboard Glossary

REPORTING PERIOD - Q2 FY23 (October 1-December 31 | 2022)

		DESCRIPTION
RACIAL AND SOCIAL EQUITY		
19	% of New Physician Hires being underrepresented minority (URM)	The percentages of physicians hired in the quarter who identify as Asian, Black or African American, Hispanic or Latino
20	# of Equity Lenses Applied to PI Projects	Total number of performance improvement projects that have data to support an equity focus to the project (e.g., quantified to focus on aim statement measure by an equity component such as primary language spoken in the home, race, ethnicity, gender). This metric will lag by 1 quarter as more PI projects are shared with the Office of Quality & Safety from across the System through various venues
21	% of Total Procurement spend on MWBE	The percentage of procurement spending to minority and women owned business enterprises
COVID-19		
22	COVID-19 Tests Administered	Total number of COVID-19 tests (swab and rapid) administered
23	COVID-19 Positive Tests	Total number of tests yielding positive results (some positive results were recorded after June 30 th)
24	Post Acute Care COVID-19 Infection	COVID-19 Infection Rate per 1,000 resident days
25	1 st dose vaccinations Administered	Total number of 1 st dose vaccinations administered by NYC Health + Hospitals Facilities
26	2 nd dose Vaccinations Administered	Total number of 2 nd dose vaccinations administered by NYC Health + Hospitals Facilities
27	% Bed Occupied(Not Including ED)	Average number of occupied beds divided by all active beds

AUTHORITY MISSION STATEMENT

- To extend equally to all New Yorkers, regardless of their ability to pay, comprehensive health services of the highest quality in an atmosphere of humane care, dignity and respect; To promote and protect, as both innovator and advocate, the health, welfare and safety of the people of the City of New York; To join with other health workers and with communities in a partnership which will enable each of our institutions to promote and protect health in its fullest sense -- the total physical, mental and social well-being of the people.

ADDITIONAL QUESTIONS

1. Have the board members acknowledged that they have read and understood the mission of the public authority?
 - Yes
2. Who has the power to appoint the management of the public authority?
 - Pursuant to the legislation that created NYC Health + Hospitals, the President is chosen by the members of the Board of Directors from persons other than themselves and serves at the pleasure of the Board. (Unconsolidated Law, section 7394)
3. If the Board appoints management, do you have a policy you follow when appointing the management of the public authority?
 - The Governance Committee to the Board of Directors has, among its responsibilities, the duty to receive, evaluate and report to the Board of Directors with respect to the submissions of appointments of corporate officers.
4. Briefly describe the role of the Board and the role of management in the implementation of the mission.
 - In addition to standing and special committees which have defined subject matter responsibilities and which meet monthly and or quarterly, the Board of Directors meets monthly to fulfill its responsibility as the governing body of NYC Health + Hospitals and its respective facilities as required by law and regulation by the various regulatory and oversight entities that oversee NYC Health + Hospitals. Corporate by-laws and established policies outline the Board's participation in the oversight of the functions designated to management in order to ensure that NYC Health + Hospitals can achieve its mission in a legally compliant and fiscally responsible manner.
5. Has the Board acknowledged that they have read and understood the responses to each of these questions?
 - Yes.

Board of Directors Request for Approval

- Adopting the attached **Mission Statement, Performance Measures and additional information to be submitted on behalf of New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) for Fiscal Year 2023** to Office of the State Comptroller’s Authorities Budget Office (the “ABO”) as required by the Public Authorities Reform Act of 2009 (the “PARA”).

RESOLUTION 08

Authorizing New York City Health and Hospitals (the “**System**”) to sign a 5-year license terminable by the System without cause with K & M Medical PLLC Group d/b/a **Mobile Vascular Physicians (“MVP”)** for MVP’s use of 414 sf at NYC Health + Hospitals/Carter (“**Carter**”), 216 sf at NYC Health + Hospitals/Coler (“**Coler**”), 120 sf at NYC Health + Hospitals/McKinney (“**McKinney**”), and 125 sf at NYC Health + Hospitals/Seaview (“**Seaview**”) as examination rooms in connection with MVP’s vein care practice at initial rates of \$47/sf at Carter, \$57/sf at Coler, \$25/sf at McKinney and \$40/sf at Seaview for an initial yearly fee of \$74,859 for the four spaces to increase by 3%/year for a total over the 5-year term for the four spaces of \$177,698.

WHEREAS, Carter, Coler, McKinney and Seaview are System post-acute care facilities that have a substantial number of patients who require dialysis (together, the “**Facilities**”); and

WHEREAS, dialysis patients frequently have problems with the vascular access that is an essential part of dialysis and such problems frequently require the care of vascular surgeons; and

WHEREAS, now, such dialysis patients are sent to acute care hospitals for vascular care often resulting in multiple day stays at the hospitals at great inconvenience to the patients, unnecessary expense for the acute care hospital bed and an interruption of the patients’ care at the Facilities; and

WHEREAS, having MVP, a medical practice specialized in vascular surgery, on site at the Facilities will enable better service for our patients in a more cost- efficient manner; and

WHEREAS, while MVP will also provide services at bedside, most services will be provided in exam rooms licensed by MVP from the System; and

WHEREAS, the licensed spaces will be used only by MVP for vascular care of patients; and

WHEREAS, license fees for the spaces to be licensed to MVP at the Facilities is at fair market value as is required under Federal anti-kickback regulations; and.

WHEREAS, the Senior Vice President for post-acute care will administer the license.

NOW THEREFORE, IT IS RESOLVED THAT, New York City Health and Hospitals (the “**System**”) be and hereby is to sign a 5-year license terminable by the System without cause with K & M Medical PLLC Group d/b/a Mobile Vascular Physicians (“**MVP**”) for MVP’s use of 414 sf at NYC Health + Hospitals/Carter (“**Carter**”), 216 sf at NYC Health + Hospitals/Coler (“**Coler**”), 120 sf at NYC Health + Hospitals/McKinney (“**McKinney**”), and 125 sf at NYC Health + Hospitals/Seaview (“**Seaview**”) as examination rooms in connection with MVP’s vein care practice at initial rates of \$47/sf at Carter, \$57/sf at Coler, \$25/sf at McKinney and \$40/sf at Seaview for an initial yearly fee of \$74,859 for the for spaces to increase by 3%/year for a total over the 5-year term for the four spaces of \$177,698.

EXECUTIVE SUMMARY

LICENSE TO MVP OF EXAM ROOM SPACE AT CARTER, COLER, MCKINNEY AND SEAVIEW

BACKGROUND: Over recent years, the System has added dialysis care at its post-acute care facilities which has increased their ability to accept patients. A remaining service needed at the post-acute is vascular care that is often needed by dialysis patients because of the need for vascular access during dialysis. The System will contract with K & M Medical PLLC Group d/b/a Mobile Vascular Physicians or MVP to provide vascular services. The current resolution focuses not on the engagement of MVP or its services, but rather on the licensing of space at the Facilities for exam rooms to be used only by MVP.

When the System engages a doctor or medical group to provide services in its hospitals to System patients, the System bills 3rd party payors for the patients' care and then pays the doctor or medical group a negotiated fee. But when the patient goes to such doctor or medical groups' office for care, the patient become the patient of such doctor or medical group which bills 3rd party payors and the System has no financial involvement.

When one healthcare provider has a referring relationship to another healthcare provider – as the System will have with MVP – applicable regulations require that all other dealing between such medical providers be on a strict arm's length, fair market value basis. This it is important that the license fee charged by the System and paid by MVP is at fair market value.

LICENSE TERMS: The area licensed to MVP at each Facility and the rate at which the license fee is calculated and the total of such fees are as follows:

Facility	Square Footage	FMV	Year 1	Total Over 5 Years
Carter	300	\$47/SF	\$14,100	\$74,859
Coler	216	\$57/SF	\$12,312	\$65,366
McKinney	120	\$25/SF	\$3,000	\$15,927
Seaview	125	\$40/SF	\$5,000	\$21,546

The annual license fee will increase by 3% annually. The license will be terminable on short notice without cause by the System.



November 30, 2022

Dr. Abe Knoll
K & H Medical PLLC
120 Hicksville Road
Bethpage, NY 11714

RE: 900 Main Street Roosevelt Island, NY 10044

Dear Dr. Knoll,

900 Main Street Roosevelt Island, NY 10044 was compared to other existing and comparable properties in the current real estate market. Price adjustments were considered with property differences. According to the market data, rates for leasing medical offices are ranging between \$49.00 to \$66.00 per square foot.

Using the market data, the estimated Fair Market Value (FMV) would be \$57.00 per square foot, for a long-term full-service lease contract.

The estimated market rent for the above property for this specific contract utilizing a 216-sf room, once a month including all permitted common areas, would be of an estimated monthly rent range between: \$385.00 and \$435.00.

This rent should be full service and include an examination room with exam table, standard office furniture with storage (drawer or cabinet). Thank you for inquiry and please feel free to contact me if additional information or assistance is needed.

Sincerely,

Roxanne DeVito

ROXANNE DEVITO
LICENSED REAL ESTATE SALESPERSON
DOUGLAS ELLIMAN REAL ESTATE
DIRECT: 917.930.2740
OFFICE: 516.795.3456
MOBILE: 917.930.2740
FAX: 516.795.0506
Roxanne.DeVito@elliman.com
5066 SUNRISE HWY, MASSAPEQUA PARK, NY 11762



November 28, 2022

Dr. Abe Knoll
K & H Medical PLLC
120 Hicksville Road
Bethpage, NY 11714

RE: 1752 Park Avenue New York, NY 10035

Dear Dr. Knoll,

1752 Park Avenue New York, NY 10035 was compared to other existing and comparable properties in the current real estate market. Price adjustments were considered with property differences. According to the market data, rates for leasing medical offices are ranging between \$38.00 to \$55.50 per square foot.

Using the market data, the estimated Fair Market Value (FMV) would be \$47.00 per square foot, for a long-term full-service lease contract.

The estimated market rent for the above property for this specific contract utilizing a 300-sf room, once a month including all permitted common areas, would be of an estimated monthly rent range between: \$445.00 and \$495.00.

This rent should be full service and include an examination room with exam table, standard office furniture with storage (drawer or cabinet). Thank you for inquiry and please feel free to contact me if additional information or assistance is needed.

Sincerely,

Roxanne DeVito

ROXANNE DEVITO
LICENSED REAL ESTATE SALESPERSON
DOUGLAS ELLIMAN REAL ESTATE
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Roxanne.DeVito@elliman.com
5066 SUNRISE HWY, MASSAPEQUA PARK, NY 11762



November 28, 2022

Dr. Abe Knoll
K & H Medical PLLC
120 Hicksville Road
Bethpage, NY 11714

RE: 460 Brielle Avenue Staten Island, NY 10314

Dear Dr. Knoll,

460 Brielle Avenue Staten Island, NY 10314 was compared to other existing and comparable properties in the current real estate market. Price adjustments were considered with property differences. According to the market data, rates for leasing medical offices are ranging between \$28.00 to \$52.00 per square foot.

Using the market data, the estimated Fair Market Value (FMV) would be \$40.00 per square foot, for a long-term full-service lease contract.

The estimated market rent for the above property for this specific contract utilizing a 125-sf room, once a month including all permitted common areas, would be of an estimated monthly rent range between: \$142.00 and \$192.00.

This rent should be full service and include an examination room with exam table, standard office furniture with storage (drawer or cabinet). Thank you for inquiry and please feel free to contact me if additional information or assistance is needed.

Sincerely,

Roxanne DeVito

ROXANNE DEVITO

LICENSED REAL ESTATE SALESPERSON DOUGLAS ELLIMAN REAL ESTATE DIRECT: 917.930.2740

OFFICE: 516.795.3456

MOBILE: 917.930.2740

FAX: 516.795.0506

Roxanne.DeVito@elliman.com

5066 SUNRISE HWY, MASSAPEQUA PARK, NY 11762



November 28, 2022

Dr. Abe Knoll
K & H Medical PLLC
120 Hicksville Road
Bethpage, NY 11714

RE: 594 Albany Avenue Brooklyn, NY 11203

Dear Dr. Knoll,

594 Albany Avenue Brooklyn, NY 11203 was compared to other existing and comparable properties in the current real estate market. Price adjustments were considered with property differences. According to the market data, rates for leasing medical offices are ranging between \$20.00 to \$30.00 per square foot.

Using the market data, the estimated Fair Market Value (FMV) would be \$25.00 per square foot, for a long-term full-service lease contract.

The estimated market rent for the above property for this specific contract utilizing a 120-sf room, once a month including all permitted common areas, would be of an estimated monthly rent range between: \$75.00 and \$125.00.

This rent should be full service and include an examination room with exam table, standard office furniture with storage (drawer or cabinet). Thank you for inquiry and please feel free to contact me if additional information or assistance is needed.

Sincerely,

Roxanne DeVito

ROXANNE DEVITO
LICENSED REAL ESTATE SALESPERSON
DOUGLAS ELLIMAN REAL ESTATE
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5066 SUNRISE HWY, MASSAPEQUA PARK, NY 11762

Post Acute Care-Mobile Vascular Physician (MVP), License Agreement

Board of Directors Meeting
September 28, 2023

Khoi Luong, DO, MBA, SVP Post-Acute Care
Leora Jontef, AVP, Housing + Real Estate

- Authorizing New York City Health and Hospitals (the “**System**”) to sign a 5-year license terminable by the System without cause with K & M Medical PLLC Group d/b/a **Mobile Vascular Physicians (“MVP”)** for MVP’s use of **414 sf at NYC Health + Hospitals/Carter (“Carter”), 216 sf at NYC Health + Hospitals/Coler (“Coler”), 120 sf at NYC Health + Hospitals/McKinney (“McKinney”), and 125 sf at NYC Health + Hospitals/Seaview (“Seaview”)** as examination rooms in connection with MVP’s vein care practice at initial rates of \$47/sf at Carter, \$57/sf at Coler, \$25/sf at McKinney and \$40/sf at Seaview for an initial yearly fee of \$74,859 for the four spaces to increase by 3%/year for a total over the 5-year term for the four spaces of \$177,698.

Overview of Proposal

- Currently, dialysis patients are taken off-site for vein care with additional costs and an inconvenience to patients.
- The proposed resolution provides for the System to license exam rooms in 4 post-acute facilities where Mobile Vascular Physicians (“MVP”) will provide vascular care to patients
 - Carter, Coler, McKinney, and Seaview
 - These patients will be treated as MVP patients.
 - MVP will bill third-party payers and will have their own medical record and be solely liable for the care. MVP will prepare notes of their care that will be entered into our Point Click Care.
- Not included in this resolution: a service agreement with MVP to treat our patients at bedside.
 - The patients are regarded as System patients, the System’s Point Click Care will be used.
 - MVP will bill third party payors and the System will pay at the Medicaid rate for only those patients without insurance. The low dollar value of this agreement is below the threshold for Board approval.

Background on Mobile Vascular Physician (MVP)

- MVP is a regional provider of interventional radiologists, vascular surgeons, and other providers focused on vascular disease with a focus on dialysis access to date has served over 340,000 patients in 273 locations.
- The specialized physicians at MVP are well respected among providers and in the community.
- Vascular access procedures for hemodialysis patients include: access creation, access surveillance, access maturation assistance for veins that fail to dilate, clot removal, angioplasty, and the placement of and removal of dialysis catheters, as needed.
- MVP can provide care at our Post-Acute Care Facilities or at their vascular centers in Queens, Bronx, and Brooklyn, depending on the services needed.

License Terms

- One license, with four locations.
- Gouverneur is not included in space license due to lack of suitable space. Gouverneur patients will be treated by MVP under a System contract at bedside or will go to MVP offices.
- Five year term. Commencement expected 12/1/2023.
- FMV Occupancy Fee, based on markets for each location, takes into account that MVP's utilities are included in the occupancy fee. Opinions of FMV are attached.

Facility Name	Square Footage	FMV	Year 1	Total Over 5 Years
Carter	300	\$47/SF	\$14,100	\$74,859
Coler	216	\$57/SF	\$12,312	\$65,366
McKinney	120	\$25/SF	\$3,000	\$15,927
Seaview	125	\$40/SF	\$5,000	\$21,546

- Authorizing New York City Health and Hospitals (the “System”) to sign a 5-year license terminable by the System without cause with K & M Medical PLLC Group d/b/a **Mobile Vascular Physicians (“MVP”)** for **MVP’s use of 414 sf at NYC Health + Hospitals/Carter (“Carter”), 216 sf at NYC Health + Hospitals/Coler (“Coler”), 120 sf at NYC Health + Hospitals/McKinney (“McKinney”), and 125 sf at NYC Health + Hospitals/Seaview (“Seaview”)** as examination rooms in connection with MVP’s vein care practice at initial rates of \$47/sf at Carter, \$57/sf at Coler, \$25/sf at McKinney and \$40/sf at Seaview for an initial yearly fee of \$74,859 for the four spaces to increase by 3%/year for a total over the 5-year term for the four spaces of \$177,698.

RESOLUTION - 09

Authorizing the New York City Health and Hospitals Corporation (the “System”) to sign a five-year license agreement with Tasty Picks, Inc. #2 (“**Tasty Picks**”) for its use and occupancy of 2,500 square feet at NYC Health + Hospitals/Metropolitan (“**Metropolitan**”) for a retail food operation at an initial rate of \$30/square foot or \$74,400 per year to increase by 2% per year for a total occupancy fee over the term of \$107,723.63 such agreement to be terminable by either party on thirty days’ notice without cause.

WHEREAS, Metropolitan had no food service vendor since the beginning of the COVID-19 pandemic in Spring 2020 until its recent agreement with Everytable made in June 2023; and

WHEREAS, Everytable will operate a small Kiosk near the First Avenue side of Metropolitan and Tasty Picks will operate a sit-down restaurant at the Second Avenue side of Metropolitan; and

WHEREAS, the System’s primary goal in establishing retail food service operations is to ensure affordable and healthy food for staff and visitors and not to maximize the revenue; and

WHEREAS, Tasty Picks offers inexpensive but healthy food reflective of the local community as demonstrated by Tasty Picks successful launch and operation at the Jacobi, NCB campus in Fall 2021; and

WHEREAS, responsibility for the operation of the proposed food service operation and administering the proposed agreement will be with the Metropolitan Executive Director.

NOW, THEREFORE, be it

RESOLVED, that the New York City Health and Hospitals Corporation (the “**System**”) be and hereby is authorized to sign a five-year license agreement with Tasty Picks, Inc. #2 (“**Tasty Picks**”) for its use and occupancy of 2,500 square feet at NYC Health + Hospitals/Metropolitan (“**Metropolitan**”) for a retail food operation at an initial rate of \$30/square foot or \$74,400 per year to increase by 2% per year for a total occupancy fee over the term of \$107,723.63 such agreement to be terminable by either party on thirty days’ notice without cause.

EXECUTIVE SUMMARY

TASTY PICKS, INC. #2

LICENSE AGREEMENT FOR FOOD SERVICE OPERATIONS AT NYC HEALTH + HOSPITALS/METROPOLITAN

- OVERVIEW:** After not having any food service, Metropolitan obtained Board approval for an agreement with EveryTable to operate a small Kiosk at the First Avenue side of Metropolitan. Metropolitan needs additional food service. The proposal is for Tasty Picks to run a sit-down restaurant in a larger location on the Second Avenue side of the hospital.
- VENDOR:** Tasty Picks is a local business that started operation at Jacobi's NCB campus in Fall 2021. Tasty Picks brought affordable, healthy and tasty food to NCB that was particularly well oriented to the ethnic preferences of staff and patients. Metropolitan leadership, being aware of Tasty Pick's good work at NCB, sought them out for Metropolitan.
- BACKGROUND:**
- TERMS:** The proposed agreement will be for five years and will be terminable by either party without cause on thirty days' notice. Tasty Picks will be licensed 2,500 square feet for its retail food operation at an initial rate of \$30/square foot or \$74,400 per year to increase by 2% per year for a total occupancy fee over the term of \$107,723.63.

September 7, 2023

Leora Jontef
Assistant Vice President Housing + Real Estate
NYC Health and Hospitals
55 Water Street, 25th Floor
New York, NY 10038
jontefl@nychhc.org

Dear Leora,

I write to you in response to your request for our opinion as to the fair market rent for the space at Metropolitan Hospital to be licensed for a restaurant with seating.

Typically, in assessing FMV, one looks to comparable rentals to see what landlord and tenants have agreed to. That is problematic in cases such as this one where “comparables” are almost non-existent. Clearly, commercial leases for street level restaurants are not comparable. There, the restaurant operator has access to all the pedestrians that pass the restaurant whereas here, the restaurant’s clientele is limited to only staff and visitors to the hospital. Similar leases in area hospitals are not listed in the databases to which we have access. Thus, we have to work by extrapolation.

Although street level commercial restaurant leases are not apt comparisons to the present situation, we can report on their rates to establish at least a point of reference. It is common knowledge that retail rentals in Manhattan are severely depressed although each situation is unique. Landlords are typically asking \$155/ft but they are rarely making deals at that price. An example familiar to you is the retail space on the first floor of 50 Water Street where ownership is asking \$155/ft but has had no suitable takers and the space has been vacant for 3 years. For similar space on E. 99th Street near Metropolitan, restaurant deals are being made at \$90 - \$120/ft.

To extrapolate from such commercial rentals, one must consider the relative disadvantages under which a licensee of the subject space must operate. First, as noted, the potential clientele is limited to staff of and visitors to Metropolitan. The hospital has only 3,000 visitors and staff that enter the hospital annually. That is a very limited clientele and substantially smaller than even other Manhattan hospitals and justifies a very substantial discount from the typical rent of a street fronting space. I estimate the justifiable reduction from the \$90 - \$120 figure for area rentals at 40%. Second and also highly significant, is that the licensee of the subject space is restricted in its menu and prices which can rise only at pace with CPI increases. This hugely limits the operator’s ability to adjust to reflect market conditions. Note that the operator is restricted from offering some of the easiest and highest margin items such as sugary drinks and desserts. I estimate the discount warranted by such restrictions at 20%. Third, the licensee of the subject space is offered only a 5-year license which is terminable at will by NYC Health + Hospitals. This short term and revocable structure will make it impossible for the licensee to be able to borrow to finance its operation. I should also note that NYC Health + Hospital is not financing any improvements to the space which an operator might finance through a bank loan but for the structure of the deal. This warrants a further 15% discount.

Based upon those facts and assumptions, I estimate the fair market value of the 5-year terminable license of the as-is space to be used at Metropolitan Hospital at between \$22.50 - \$30.00/square foot.

Thank You,



Ira Rovitz
Executive Managing Director
T 212-372-2469
M 347-952-0159

Although all information furnished regarding property for sale, rental, or financing is from sources deemed reliable, such information has not been verified, and no express representation is made nor is any to be implied as to the accuracy thereof, and it is submitted subject to errors, omissions, change of price, rental or other conditions, prior sale, lease or financing, or withdrawal without notice and to any special conditions imposed by our principal.

NEWMARK

Tasty Picks
License Agreements
**NYC Health + Hospitals/
Metropolitan Hospital**

Board of Directors Meeting
September 28, 2023

Cristina Contreras, CEO, Metropolitan
Leora Jontef, Assistant Vice President, Housing and Real Estate
Jeremy Berman, Deputy Counsel

- Authorizing the New York City Health and Hospitals Corporation (the “System”) to sign a five-year license agreement with Tasty Picks, Inc. #2 (“Tasty Picks”) for its use and occupancy of 2,500 square feet at NYC Health + Hospitals/Metropolitan (“Metropolitan”) for a retail food operation at an initial rate of \$30/square foot or \$74,400 per year to increase by 2% per year for a total occupancy fee over the term of \$107,723.63 such agreement to be terminable by either party on thirty days’ notice without cause.

Background: Food Vendors at Metropolitan

- Convenient onsite food options is important to staff and patient satisfaction.
 - Many facilities are not near retail corridors
 - Work schedules require easy access to food 24/7
 - Healthy food options are core to H+H values
 - Cost conscious pricing allows access to all hospital visitors

- Covid caused several food service vendors to close, leaving many hospitals without food services or with old operations in need of updating.

- Metropolitan recently brought an agreement to the Board to authorize EveryTable to operate a kiosk within the hospital
 - EveryTable will run a small, casual kiosk with limited options, Tasty Picks will run a sit down eatery with a large number of options
 - Metropolitan has the demand for both a kiosk and a restaurant

- Metropolitan is looking to bring a second vendor to the hospital to provide healthy and affordable style food with seating for patrons

Selection Process

- Each facility independently selects the vendors that suit their patient and staff needs, taking into consideration:
 - Evaluating menus for healthy options
 - Ability to provide culturally sensitive foods
 - Pricing and tastings
 - Cultural sensitivities
 - 24/7 operations
- Metropolitan diligently searched for the best candidate to provide food services, including presentations and sampling food offerings:
 - Metropolitan Hospital has 3,000 staff, patients and visitors present daily
 - Had no food vendor since 2020 until the recent agreement with EveryTable
 - Has determined that two vendors are needed for the hospital with one on one side of the hospital and the other at the opposite end
- After considering other vendors, Metropolitan chose Tasty Picks. Tasty Picks has shown its affordable, appealing and healthy food by its successful launch and Operation at NCB
- Under the System's rules, real estate space license agreements, such as the proposed agreement does not require a RFP

Food Vendor: Tasty Picks

- Tasty Picks is a North Central Bronx-based food store that boasts a diverse range of culinary offerings.
 - Operating for 10 years and has been a food vendor at North Central Bronx for 2 years
- Operates a central prep kitchen in Brooklyn with guaranteed daily delivery of fresh food
 - Hours of operation will be: 6 am to 9pm Monday to Friday and 7am to 3pm Weekends and Holidays
 - Tasty Picks will offer a diverse menu of fresh food
 - Smoothies, Acai Bowls, and Juices: \$6.99-\$11.99
 - Hot breakfast and bakery items \$2.99-\$8.99
 - Fresh salads with homemade dressings \$6.95-\$8.45
 - Burgers and hot sandwiches and wraps \$6.99-11.99
 - Fresh Salads \$9.99-\$13.99
 - Mexican Specialties, Halal Specialties
 - Full complement of fountain drinks, bottles, cans, hot and iced coffee and tea. \$1.89 - \$3.75
 - Catering available for all hospital staff needs
 - Culturally sensitive foods will be offered
- Price range is \$1.50 - \$13.99

Deal Terms

- Location: 2,500 sq ft in the 1st Floor Mental Health Building, near 2nd Avenue Entrance
- Tasty Picks will do minor work (floor, paint, equipment): estimated cost \$250,000, which Tasty Picks is responsible for
- Rent: \$6,200/month (\$30/sq ft)
 - Year 1 rent: \$74,400
 - Term: 5 years with annual 2% increase
 - Total rent over 5 years: \$107,723.63
 - Term will begin at lease signing
- Agreement may be terminated for convenience
- Price increases other than those to keep pace with CPI increases must be approved by facility

Year	Amount
1	\$74,400
2	\$75,888
3	\$77,406
4	\$78,954
5	\$80,533
Total	\$387,180.59

- Authorizing the New York City Health and Hospitals Corporation (the “System”) to sign a five-year license agreement with Tasty Picks, Inc. #2 (“Tasty Picks”) for its use and occupancy of 2,500 square feet at NYC Health + Hospitals/Metropolitan (“Metropolitan”) for a retail food operation at an initial rate of \$30/square foot or \$74,400 per year to increase by 2% per year for a total occupancy fee over the term of \$107,723.63 such agreement to be terminable by either party on thirty days’ notice without cause.

RESOLUTION - 10

Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a requirements contract with **Jemco Electrical Contractors, Inc.** (the “Contractor”), for a not to exceed amount of \$10,000,000, to provide general construction services on an as-needed basis at various NYC Health + Hospitals’ facilities over a term of two years.

WHEREAS, NYC Health + Hospitals requires general construction services from time to time for small projects throughout NYC Health + Hospitals facilities; and

WHEREAS, NYC Health + Hospitals has determined that the need for such services can be best met by utilizing general construction contractors, on an as-needed basis, through a requirements contract; and

WHEREAS, in accordance with Operating Procedure 100-5 a solicitation was issued, pursuant to which bids were received and publicly opened on May 23, 2023, and NYC Health + Hospitals determined that the Contractor submitted the lowest responsible bid for this contract solicitation; and

WHEREAS, the proposed contract is one of three that NYC Health + Hospitals proposes to execute pursuant to this solicitation; and

WHEREAS, the Contractor has met all, legal, business and technical requirements and is qualified to perform the services as required in the contract documents; and

WHEREAS, the overall responsibility for the administration of the proposed contract shall be with the Vice President, Facilities Development.

NOW, THEREFORE, be it

RESOLVED that the New York City Health and Hospitals Corporation be and hereby is authorized to execute a contract with Jemco Electrical Contractors, Inc. in the amount of \$10,000,000 to provide general construction services on an as-needed basis at various NYC Health + Hospitals facilities over a two-year period.

**EXECUTIVE
SUMMARY JOB
ORDER
CONTRACT
JEMCO ELECTRICAL CONTRACTORS, INC.
(GENERAL CONSTRUCTION)**

CONTRACT SCOPE: General Construction Work

NEED: NYC Health + Hospitals facilities needs general construction services to perform small jobs on an as needed basis at its facilities throughout New York City. Due to fluctuating demands, such smaller projects can best be handled by contractors on an as-needed basis, via requirements contracts.

CONTRACT DURATION: 2 Years

**SIMILAR
EXPERIENCE:** CUNY- John Jay College – Through DASNY
Restroom Upgrade/Asbestos Abatement
General Construction
Completed:
Amount: \$6,042,173

**H+H
EXPERIENCE:** NYC Health & Hospitals –
Harlem Hospital
Electrical Infrastructure Upgrade
Completed:
Amount: \$14,000,000

CONTRACT AMOUNT: \$10,000,000

VENDEX APPROVAL: Approved

EEO APPROVAL: Approved

MWBE STATUS: Committed to a 41% MWBE Goal



To: Colicia Hercules
Chief of Staff, Office of the Chair

From: Franco Esposito *Franco Esposito*
Senior Counsel
Office of Legal Affairs

Re: Vendor Responsibility, EEO and MWBE status for Board review of JOCs Contract

Vendor: Jemco Electrical Contractors, Inc.

Date: June 22, 2023

The below information indicates the vendor's status as to responsibility, EEO and MWBE as provided by the Office of Facilities Development and Supply Chain:

Vendor Responsibility

Approved

EEO

Approved

MWBE

41% goal

RESOLUTION - 11

Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a requirements contract with **BA Global Construction Corp. (the “Contractor”)**, for a not to exceed amount of **\$10,000,000**, to provide **general construction services** on an as-needed basis at various NYC Health + Hospitals’ facilities over a term of two years.

WHEREAS, NYC Health + Hospitals requires general construction services from time to time for small projects throughout NYC Health + Hospitals facilities; and

WHEREAS, NYC Health + Hospitals has determined that the need for such services can be best met by utilizing general construction contractors, on an as-needed basis, through a requirements contract; and

WHEREAS, in accordance with Operating Procedure 100-5 a solicitation was issued, pursuant to which bids were received and publicly opened on May 17, 2023, and NYC Health + Hospitals determined that the Contractor submitted the lowest responsible bid for this contract solicitation; and

WHEREAS, the proposed contract is one of three that NYC Health + Hospitals proposes to execute pursuant to this solicitation; and

WHEREAS, the Contractor has met all, legal, business and technical requirements and is qualified to perform the services as required in the contract documents; and

WHEREAS, the overall responsibility for the administration of the proposed contract shall be with the Vice President, Facilities Development.

NOW, THEREFORE, be it

RESOLVED that the New York City Health and Hospitals Corporation be and hereby is authorized to execute a contract with BA Global Construction Corp. in the amount of \$10,000,000 to provide general construction services on an as-needed basis at various NYC Health + Hospitals facilities over a two-year period.

**EXECUTIVE
SUMMARY JOB
ORDER
CONTRACT
BA GLOBAL CONSTRUCTION CORP.
(GENERAL CONSTRUCTION)**

CONTRACT SCOPE: General Construction Work

NEED: NYC Health + Hospitals facilities needs general construction services to perform small jobs on an as needed basis at its facilities throughout New York City. Due to fluctuating demands, such smaller projects can best be handled by contractors on an as-needed basis, via requirements contracts.

CONTRACT DURATION: 2 Years

SIMILAR EXPERIENCE: DASNY – JOCS GC
General Construction
Completed: 2024
Amount: \$24,000,000

H+H EXPERIENCE: NYC Health & Hospitals –
Bellevue Hospital
Supply Room Renovations
Completed: 2022
Amount: \$416,888.56

CONTRACT AMOUNT: \$10,000,000

VENDEX APPROVAL: Approved

EEO APPROVAL: Approved

MWBE STATUS: Certified MWBE Vendor



To: Colicia Hercules
Chief of Staff, Office of the Chair

From: Franco Esposito *Franco Esposito*
Senior Counsel
Office of Legal Affairs

Re: Vendor Responsibility, EEO and MWBE status for Board review of contract

Vendor: BA Global Construction Corp.

Date: August 25, 2023

The below information indicates the vendor's status as to responsibility, EEO and MWBE as provided by the Office of Facilities Development and Supply Chain:

Vendor Responsibility

Approved

EEO

Approved

MWBE

MBE Certified

**General Construction
Job Order Contracts
Request for Approval
Jemco Electrical Contractors, Inc.
BA Global Construction Corporation**

**Board of Directors Meeting
September 28, 2023**

Manny Saez, PhD. VP, Office of Facilities Development
Mahendranath Indar, AVP, Office of Facilities Development

Board of Directors Consideration

- Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a requirements contract with Jemco Electrical Contractors, Inc. (the “Contractor”), for a not to exceed amount of \$10,000,000, to provide general construction services on an as-needed basis at various NYC Health + Hospitals’ facilities over a term of two years.

- Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a requirements contract with BA Global Construction Corp. (the “Contractor”), for a not to exceed amount of \$10,000,000, to provide general construction services on an as-needed basis at various NYC Health + Hospitals’ facilities over a term of two years.

Background / Current State

- Job Order Contracting (JOCs) are Construction Contracts that are awarded based on public bid, whereby bidders use a multiplier, against an itemized catalog of services, to establish their base bid. Solicitation and award in alignment with NYC Health + Hospitals Operating Procedure 100-5.
- Current General Construction contracts were awarded in 2019 and expire this year
- Our current utilization for the three incumbents is at 85% of total contract value – with two of three at nearly 100%:

Vendor	Start Date	End Date	# of WOs issued	Contract Value	Award to Date
BA Global Construction Corporation	7/1/2021	12/31/2023	45	\$10,000,000	\$9,774,530.58
CareFree Improvements	7/1/2021	12/31/2023	37	\$10,000,000	\$9,832,376.99
Volmar Construction, Inc.	7/1/2021	12/31/2023	38	\$10,000,000	\$6,102,105.34
Total			120	\$30,000,000	\$25,709,012.91



Procurement

- Public bids opened on May 17, 2023 and May 23, 2023 for two contracts, each for \$10M, to provide General Construction services. The contracts will be for 2 years

- Jemco Electrical Contractors (“Jemco”) was the lowest responsible bidder for on May 17, 2023
 - Lowest multiplier submitted by Jemco
 - Jemco is currently one of our JOCs Electrical Contractor (2020-2022) and also served as a previous JOCs General Contractor (2018-2020). Evaluations for both contracts were rated 84% and 93% respectively. Additionally, the ratings listed in MOCs included 2 Excellent and 4 Good.

- BA Global Construction Corporation (“BA Global”) was the lowest responsible bidder for on May 23, 2023
 - Lowest multiplier submitted by Ba Global
 - BA Global is currently one of our JOC General Contractors. Evaluations for the JOC Contract is 87.5%. BA Global is also the prime contractor for two projects: Kings Pharmacy and Woodhull Façade.



JEMCO Vendor Evaluations

Vendor Performance Evaluation	
Jemco Electrical Contractors, Inc.	
DESCRIPTION	ANSWER
Did the vendor meet its budgetary goals, exercising reasonable efforts to contain costs, including change order pricing?	Yes
Has the vendor met any/all of the minority, women and emerging business enterprise participation goals and/or Local Business enterprise requirements, to the extend applicable?	Yes
Did the vendor and any/all subcontractors comply with applicable Prevailing Wage requirements?	Yes
Did the vendor maintain adequate records and logs, and did it submit accurate, complete and timely payment requisitions, fiscal reports and invoices, change order proposals, timesheets and other required daily and periodic record submissions (as applicable)?	Yes
Did the vendor submit its proposed subcontractors for approval in advance of all work by such subcontractors?	Yes
Did the vendor pay its suppliers and subcontractors, if any, promptly?	Yes
Did the vendor and its subcontractors perform the contract with the requisite technical skill and expertise?	Yes
Did the vendor adequately supervise the contract and its personnel, and did its supervisors demonstrate the requisite technical skill and expertise to advance the work	Yes
Did the vendor adequately staff the contract?	Yes
Did the vendor fully comply with all applicable safety standards and maintain the site in an appropriate and safe condition?	Yes
Did the vendor fully cooperate with the agency, e.g., by participating in necessary meetings, responding to agency orders and assisting the agency in addressing complaints from the community during the construction as applicable?	Yes
Did the vendor adequately identify and promptly notify the agency of any issues or conditions that could affect the quality of work or result in delays, and did it adequately and promptly assist the agency in resolving problems?	Yes
Performance and Overall Quality Rating Satisfactory	Excellent

71% - 80% ----- Satisfactory
81% - 90% ----- Good
91% - 100% ----- Excellent

BA Global Vendor Evaluations

Vendor Performance Evaluation	
BA Global Construction Corporation	
DESCRIPTION	ANSWER
Did the vendor meet its budgetary goals, exercising reasonable efforts to contain costs, including change order pricing?	Yes
Has the vendor met any/all of the minority, women and emerging business enterprise participation goals and/or Local Business enterprise requirements, to the extent applicable?	Yes
Did the vendor and any/all subcontractors comply with applicable Prevailing Wage requirements?	Yes
Did the vendor maintain adequate records and logs, and did it submit accurate, complete and timely payment requisitions, fiscal reports and invoices, change order proposals, timesheets and other required daily and periodic record submissions (as applicable)?	Yes
Did the vendor submit its proposed subcontractors for approval in advance of all work by such subcontractors?	Yes
Did the vendor pay its suppliers and subcontractors, if any, promptly?	Yes
Did the vendor and its subcontractors perform the contract with the requisite technical skill and expertise?	Yes
Did the vendor adequately supervise the contract and its personnel, and did its supervisors demonstrate the requisite technical skill and expertise to advance the work	Yes
Did the vendor adequately staff the contract?	Yes
Did the vendor fully comply with all applicable safety standards and maintain the site in an appropriate and safe condition?	Yes
Did the vendor fully cooperate with the agency, e.g., by participating in necessary meetings, responding to agency orders and assisting the agency in addressing complaints from the community during the construction as applicable?	Yes
Did the vendor adequately identify and promptly notify the agency of any issues or conditions that could affect the quality of work or result in delays, and did it adequately and promptly assist the agency in resolving problems?	Yes
Performance and Overall Quality Rating Satisfactory	Good

71% - 80% ----- Satisfactory
81% - 90% ----- Good
91% - 100% ----- Excellent



GC MWBE Utilization Plans

➤ Jemco has committed to a 41% MWBE spend:

Subcontractor	Certification	Supplies/Services	Utilization Plan %	Utilization \$s
Eastern Plumbing	WBE	Plumbing	10%	\$1,000,000
Tedco Group Inc.	WBE	Service / HVAC, Mechanical scope	10%	\$1,000,000
Park Ave Building & Roofing Supplies	MBE	General Construction Materials/Supplies	5%	\$500,000
Deutscher & Daugher	WBE	Hollow Metal Doors & Hardware, Glass	5%	\$500,000
AGA Environmental	MBE	Asbestos Abatement	5%	\$500,000
LB Consulting	WBE	CPM Scheduling	3%	\$300,000
Turtle & Hughes	WBE	Electrical Materials/Supplies/ lights/controls	3%	\$300,000
Total			41%	\$4,100,000

➤ BA Global is certified MWBE vendor so 100% of spend will be MWBE

- Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a requirements contract with **Jemco Electrical Contractors, Inc. (the “Contractor”)**, for a not to exceed amount of **\$10,000,000**, to provide **general construction services** on an as-needed basis at various NYC Health + Hospitals’ facilities over a term of two years.

- Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a requirements contract with **BA Global Construction Corp. (the “Contractor”)**, for a not to exceed amount of **\$10,000,000**, to provide **general construction services** on an as-needed basis at various NYC Health + Hospitals’ facilities over a term of two years.

RESOLUTION - 12

Authorizing New York City Health and Hospitals Corporation (the “System”) to execute a contract with **Jemco Electrical Contractors (the “Contractor”)** to undertake a renovation of the Behavioral Health Units located on the 12th, 18th, and 20th Floors at Bellevue Hospital Center (“Bellevue”), to create a ligature resistant environment, for a contract amount of \$12,779,569 with a 10% project contingency of \$1,277,956 to bring the total cost not to exceed \$14,057,525.

WHEREAS, during the mid-1980’s, the 12th, 18th, and 20th floors at Bellevue were built out as new Behavioral Health inpatient units; and

WHEREAS, through in- house analysis, many high-risk issues were identified such as tubs, sink drains, tub spouts, toilets, and dispensers in inpatient bathrooms; and

WHEREAS, as a result, it is necessary to perform a complete renovation/construction of the Behavioral Health Units (to eliminate anti-ligature risk thereby reducing the risk of harm to individuals), and

WHEREAS, in accordance with Operating Procedure 100-5 a solicitation was issued, pursuant to which bids were received and publicly opened on June 7, 2023, and NYC Health + Hospitals determined that the Contractor submitted the lowest responsible bid; and

WHEREAS, the Contractor has met all, legal, business and technical requirements and is qualified to perform the services as required in the contract documents; and

WHEREAS, the overall responsibility for the administration of the proposed contract shall be with the Vice President, Facilities Development.

NOW, THEREFORE, be it

RESOLVED that the New York City Health and Hospitals Corporation be and hereby is authorized to execute a contract with Jemco Electrical Contractors, Inc. in the amount of \$12,779,569 to undertake a renovation at NYC Health + Hospitals/Bellevue Hospital Center’s Behavior Health Units.

EXECUTIVE SUMMARY
ANTI-LIGATURE CONSTRUCTION CONTRACT – BELLEVUE HOSPITAL
JEMCO ELECTRICAL CONTRACTORS, INC.

CONTRACT SCOPE: General Construction Work

NEED: NYC Health + Hospitals facilities needs general construction services to undertake the anti-ligature project at Bellevue Hospital's Behavioral Health Units due to an analysis of the current conditions of several floors at the facility.

CONTRACT DURATION 357 Consecutive Calendar Days

SIMILAR EXPERIENCE: CUNY- John Jay College – Through DASNY
Restroom Upgrade/Asbestos Abatement
General Construction
Completed:
Amount: \$6,042,173

H+H EXPERIENCE: NYC Health & Hospitals – Harlem Hospital
Electrical Infrastructure Upgrade Completed:
Amount: \$14,000,000

NYC Health & Hospitals
JOCs Electrical – 2018 - 2020
Amount: \$10,000,000

CONTRACT AMOUNT: \$12,779,569

VENDEX APPROVAL: Approved

EEO APPROVAL: Approved

MWBE STATUS: Committed to a 32% MWBE Goal



To: Colicia Hercules
Chief of Staff, Office of the Chair

From: Franco Esposito *Franco Esposito*
Senior Counsel
Office of Legal Affairs

Re: Vendor Responsibility, EEO and MWBE status for Board review of contract

Vendor: Jemco Electrical Contractors, Inc.

Date: August 23, 2023

The below information indicates the vendor's status as to responsibility, EEO and MWBE as provided by the Office of Facilities Development and Supply Chain:

Vendor Responsibility

Approved

EEO

Approved

MWBE

32% goal

Request to Award Contract to Jemco Electrical Contractors for Anti-Ligature Project of the Behavioral Health Units at Bellevue Hospital

**Board of Directors Meeting
September 28, 2023**

Marcia Peters, Chief Operating Officer, NYC H+H/Bellevue

Manuel Saez, PhD, Vice President, OFD

Oscar Gonzalez, Senior Assistant Vice President, OFD

Anniqua Brown, Senior Director, OFD

- Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a contract with **Jemco Electrical Contractors, Inc. (the “Contractor”)**, to undertake a renovation of the Behavioral Health Units located on the 12th, 18th and 20th floors at NYC Health + Hospitals/Bellevue Hospital Center (“Bellevue”), to create a ligature resistant environment, for a contract amount of \$12,779,569, with a 10% project contingency of \$1,277,956, to bring the total cost not to exceed \$14,057,525.

Program Background/ History

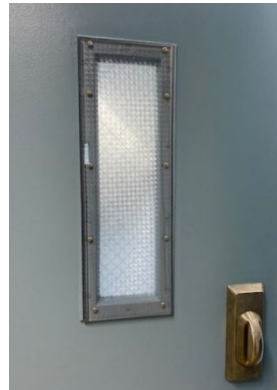
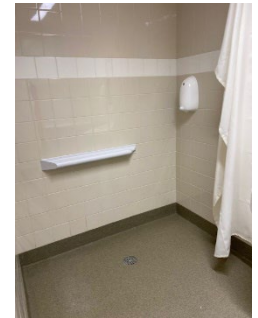
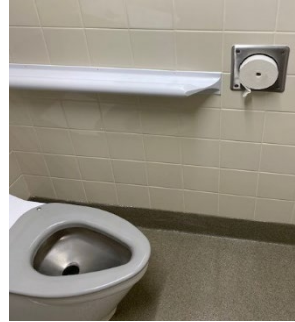
- As a referral site for mental health care for all 11 public hospitals in New York City, Bellevue provides care for the underserved New Yorkers with mental health issues. Inpatient Behavioral Health Units on the south east corner of 30th St. and First Ave.
- During the mid-1980's, the 12th, 18th, and 20th floors were built out as new Behavioral Health (BH) inpatient units.
- We are looking to upgrade this aging facility to better meet the needs of this vulnerable population.
- As a result, it is necessary to perform a complete renovation of all inpatient units on all Behavioral Health units to mitigate ligature risks and provide care in a safe space.
- **Ligature Resistant:** Removal of any furniture, equipment, fixtures that creates ligature points where a cord, rope, bed sheet or other material can be looped or tied to fashion a point of attachment that may lead to loss of life or self-harm.

Construction Scope & Schedule

- The new anti-ligature renovation covers 6 units and will incorporate:
 - Complete interior demolition of the each patient room within each unit
 - Replace exterior windows with a behavioral health grade compliant glazing
 - Replace glazing of interior window to a behavioral health compliant glazing- polycarbonate.
 - Upgrade bathrooms and replace existing plumbing fixtures with detention grade ligature resistant fixtures, including sealing edges with a pick-proof sealant
 - Install solid surface sink base and enclosure, including a solid surface removable panel with tamper-proof screws to secure, pick-proof sealant at all junctions of sink/base with wall surface, and gaps.
 - Upgrade finishes, millwork and hardware to Behavioral Health's new compliant standard, including continuous hinges and ligature-resistant handles
 - This project will have no impact to current bed count or result in an interruption in delivery of care
 - Expected to begin Jan 2024 with completion expected by Summer 2025

Current State

Future state



Overview of Procurement

- 4/24/2023 & 4/25/23: Site tour for bidders; 4 contractors attended
- 6/7/2023: Bid due date, four bids received
- 8/10/2023: Pre-award meeting held with Jemco Electrical Contractors, Inc. the lowest responsive and responsible bidder

Construction Contract

- Sourced via public bid
- Jemco Electrical Contractors Inc. (“Jemco”) was the lowest of four (4) bidders
- Jemco has committed to a 32% MWBE subcontractor utilization plan presented

Subcontractor	Certification	Supplies/Services	Utilization Plan %	Utilization \$s
Cardoza Plumbing	MBE	Plumbing	12%	\$1,526,904.96
Tedco Group Inc.	WBE	Service / HVAC, Mechanical scope	12%	\$1,526,904.96
Park Ave Building & Roofing Supplies	MBE	General Construction Materials/Supplies	5%	\$636,210.40
Turtle & Hughes	WBE	Electrical Materials/Supplies/ lights/controls	2%	\$254,484.16
Deutscher & Daugher	WBE	Hollow Metal Doors & Hardware, Glass	1%	\$127,242.08
Total			32%	\$4,071,747

- Contract amount is **\$12,724,208**
- Jemco is currently one of our JOCs Electrical Contractor (2020-2022) and also served as a previous JOCs General Contractor (2018-2020). Evaluations for both contracts were rated 84% and 93% respectively. Additionally, the ratings listed in MOCs included 2 Excellent and 4 Good.
- Expected to begin Jan 2024 (or earlier) with completion expected by Summer 2025

Performance Evaluation

Vendor Performance Evaluation	
Jemco Electrical Contractors Inc.	
DESCRIPTION	ANSWER
Did the vendor meet its budgetary goals, exercising reasonable efforts to contain costs, including change order pricing?	Yes
Has the vendor met any/all of the minority, women and emerging business enterprise participation goals and/or Local Business enterprise requirements, to the extent applicable?	Yes
Did the vendor and any/all subcontractors comply with applicable Prevailing Wage requirements?	Yes
Did the vendor maintain adequate records and logs, and did it submit accurate, complete and timely payment requisitions, fiscal reports and invoices, change order proposals, timesheets and other required daily and periodic record submissions (as applicable)?	Yes
Did the vendor submit its proposed subcontractors for approval in advance of all work by such subcontractors?	Yes
Did the vendor pay its suppliers and subcontractors, if any, promptly?	Yes
Did the vendor and its subcontractors perform the contract with the requisite technical skill and expertise?	Yes
Did the vendor adequately supervise the contract and its personnel, and did its supervisors demonstrate the requisite technical skill and expertise to advance the work?	Yes
Did the vendor adequately staff the contract?	Yes
Did the vendor fully comply with all applicable safety standards and maintain the site in an appropriate and safe condition?	Yes
Did the vendor fully cooperate with the agency, e.g., by participating in necessary meetings, responding to agency orders and assisting the agency in addressing complaints from the community during the construction as applicable?	Yes
Did the vendor adequately identify and promptly notify the agency of any issues or conditions that could affect the quality of work or result in delays, and did it adequately and promptly assist the agency in resolving problems?	Yes
Performance and Overall Quality Rating Satisfactory	Excellent

71% - 80% ----- Satisfactory
81% - 90% ----- Good
91% - 100% ----- Excellent

Project Budget

Bellevue : Anti-ligature 6 units	
Construction	\$12,779,569
Project Contingency (10%)	\$1,277,956
Total	\$14,057,525*

*Full funding for this project has been allocated and CP is pending within OMB for approval

- Authorizing the New York City Health and Hospitals Corporation (“NYC Health + Hospitals”) to execute a contract with **Jemco Electrical Contractors, Inc. (the “Contractor”)**, to undertake a renovation of the **Behavioral Health Units located on the 12th, 18th and 20th floors at NYC Health + Hospitals/Bellevue Hospital Center (“Bellevue”)**, to create a ligature resistant environment, for a contract amount of \$12,779,569, with a 10% project contingency of \$1,277,956, to bring the total cost not to exceed \$14,057,525.

RESOLUTION - 13

Authorizing the Executive Director of MetroPlus Health Plan, Inc. (“MetroPlus or “the Plan”) **to negotiate and execute a contract with HealthEdge Software, Inc. (“HealthEdge”)** to procure a new replacement, modern core processing system for an amount not to exceed \$109,000,000 for a total 12-year contract period, with two five-year renewals subject to future approval by the Board of Directors of the NYC Health + Hospitals.

WHEREAS, MetroPlus, a subsidiary corporation of NYC Health + Hospitals, is a Managed Care Organization and Prepaid Health Services Plan, certified under Article 44 of the Public Health Law of the State of New York; and

WHEREAS, the Plan requires a Core Processing System solution that would be an integral part of a complete end-to-end solution for enrollment, provider and vendor management, care management, claims adjudication and payment, utilization management, capitalization processing, financial services including premium billing and collection, and reporting for utilization and finance; and

WHEREAS, an RFP for Core Processing System Modernization was issued in compliance with MetroPlus’ contracting policies and procedures; and

WHEREAS, HealthEdge was the vendor selected to provide these services; and

WHEREAS MetroPlus seeks to award a 12-year contract for an amount not to exceed \$109,000,00 with two additional five-year renewals that are subject to approval by the Board of Directors of the NYC Health + Hospitals at the time such renewals are exercised;

WHEREAS, on September 14, 2023, the MetroPlus Board of Directors considered and approved the submission of the resolution to the Board of Directors of the NYC Health + Hospitals, for the proposed contract between MetroPlus and HealthEdge.

NOW THEREFORE, be it


RESOLVED, that the Executive Director of MetroPlus is hereby authorized to negotiate and execute a contract with HealthEdge Software, Inc. (“HealthEdge”) to procure a new replacement, modern core processing system for an amount not to exceed \$109,000,000 for a total 12-year contract period, with two five-year renewals subject to future approval by the Board of Directors of the NYC Health + Hospitals.

EXECUTIVE SUMMARY

- OVERVIEW:** MetroPlus seeks a core processing system solution that will be an integral part of a complete end-to-end solution for enrollment, provider and vendor management, care management, claims adjudication and payment, utilization management, capitalization processing, financial services including premium billing and collection, and reporting for utilization and finance.
- PROCUREMENT:** MetroPlus issued a Request for Proposals on December 2, 2022. A mandatory pre-proposers conference was held on December 9, 2022, which 7 prospective vendors attended. 6 proposals were received, 2 were deemed unresponsive, 4 were deemed responsive and they were evaluated, and scored by an Evaluation Committee based on quality of proposal and adherence to the scope of work, quality and relevance of experience, implementation plan and approach, staffing, management & organizational capability, strength of demonstrated capabilities, references, cost and MWBE utilization plan or MWBE status.
HealthEdge Software, Inc. was selected on these criteria.
- TERM:** The term of the proposed initial agreement is 12 years for a total not-to-exceed cost of \$109 million.
- MWBE:** 10% MWBE utilization plan (for services not including cost of proprietary software product) has been submitted.
-



To: Colicia Hercules
Chief of Staff, Office of the Chair

From: Steven Stein Cushman
Chief Counsel, Legal 

Re: Vendor responsibility, EEO and MWBE status or Board review of contract

Vendor: HealthEdge Software, Inc.

Date: Wednesday, September 13th, 2023

The below chart indicates the vendor's status as to vendor responsibility, EEO and MWBE:

Vendor Responsibility

Approved

EEO

Pending

MWBE

10% Utilization Plan
20% Waiver Approved

The above status is consistent and appropriate with the applicable laws, regulations, and operating procedures to allow the Board of Directors to approve this contract.

MetroPlusHealth | Core Processing System Replacement by HealthEdge Software, Inc.

NYC Health + Hospitals Board of Directors Meeting

Thursday, September 28th, 2023

Dr. Mitchell Katz, NYC H+H CEO

Dr. Talya Schwartz, MetroPlusHealth CEO

Board of Directors Request

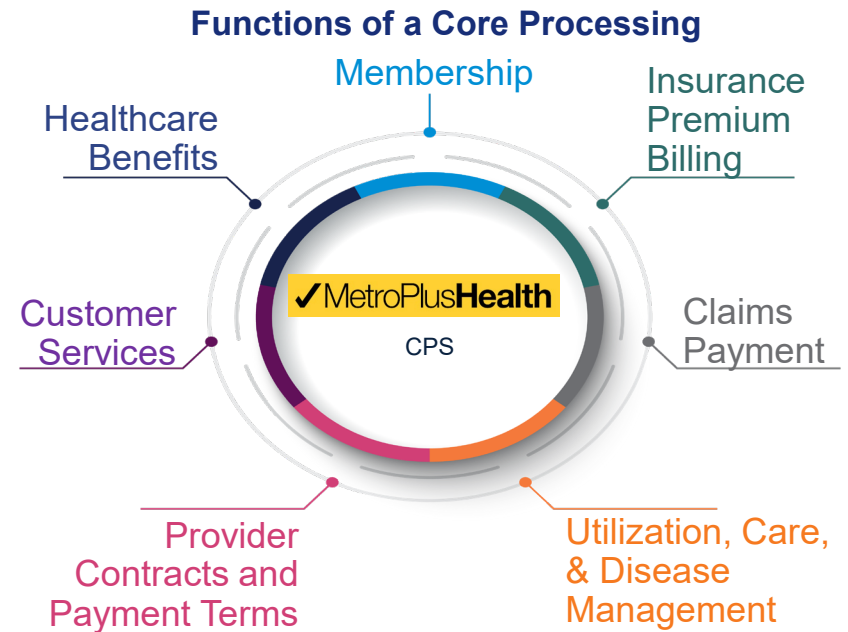
- Authorizing the Executive Director of MetroPlus Health Plan, Inc. (“MetroPlus or “the Plan”) **to negotiate and execute a contract with HealthEdge Software, Inc. (“HealthEdge”)** to procure a new replacement, modern core processing system for an amount not to exceed \$109,000,000 for a total 12-year contract period, with two five-year renewals subject to future approval by the Board of Directors of the NYC Health + Hospitals

OVERVIEW

- MetroPlusHealth is pursuing a new, modern Core Processing System to replace its current systems.
- Seeking a 12-year initial contract.
- Total not to exceed \$109 million.

WHAT IS A CORE PROCESSING SYSTEM (CPS)?

- CPS is the engine of every healthcare payor organization.
- Used to pay claims and manage the network as well as members' eligibility and access to care.



WHY DO WE NEED A NEW SYSTEM?

- **Outdated technology:**
 - Current claims system is antiquated dating back more than 30 years.
 - It takes significant effort and time to maintain and enhance the system that processes close to 9M claims a year.
 - Difficulty supporting the complex NY State requirements, sometimes leaving the Plan only with manual solutions.
 - Challenges in supporting sufficiently strategic goals.
- **Numerous systems with higher complexity:**
 - More manual work with the potential for human error leading to inaccurate payments and re-processing.
 - Higher administrative costs due to manual efforts.
- **Cost:**
 - Newer platforms are more cost effective.



Current contract expires on December 31st, 2024, with an ability to extend through 2026.
Remaining on the current platform is not a viable competitive option for MetroPlusHealth.

PAYOR EXPECTATIONS

Current State	Expected State
Launching products can take a year	Fast product launch
~70% automation of claims processing	~90% automation of claims processing to improve payment speed and accuracy
Limited access to data	On-demand reporting and decision-making
Significant time spent developing connections and manual workarounds	Ability to seamlessly connect with multiple systems
Challenging to meet regulatory demands without massive and manual effort	Timely compliance with regulatory mandates
Challenges noted above make it difficult to maximize member and provider satisfaction	Positive experience for members and providers

RFP CRITERIA



Minimum Criteria

- Must have demonstrated ability to support all lines of MetroPlusHealth.
- Must propose a full suite of end-to-end capabilities.
- Must have at least 3 years of experience delivering Core Processing System (CPS) projects to New York State-based Managed Care Organizations or in a similarly heavily regulated state in the past 5 years.
- Must provide a MWBE Utilization Plan, waiver, or MWBE Certification.

MPH Evaluation Committee

- Chief Information Officer
- Chief Financial Officer
- Chief Medical Officer
- Chief Compliance and Regulatory Officer
- Chief Growth Officer
- Chief Operating Officer
- Deputy Executive Director of Core Systems
- VP of Core Systems

Evaluation Criteria

Phase 1 Scoring

- Quality and relevance of experience – 25%
- Implementation plan and approach – 15%
- Quality of proposal and adherence to SOW – 40%
- Organizational capability – 10%
- MWBE utilization plan or MWBE status – 10%

Phase 2 Scoring

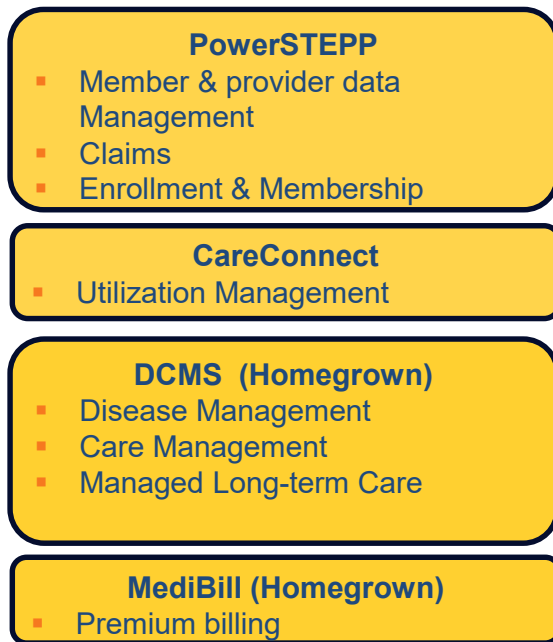
- Strength of demonstrated capabilities – 50%
- References – 25%
- Cost – 25%

Including deep dive assessments and BAFO for two finalists.

SELECTION PROCESS

- 6 vendors responded to the RFP.
- 4 vendors met the minimum qualifications to proceed.
- Presentations and demonstrations occurred between 3/20/2023-3/31/2023.
- 2 vendor finalists selected.
- In-depth assessment of 2 finalists conducted July 6th-25th.
- Final scoring concluded 8/10/2023.
- HealthEdge ranked most favorably by the Evaluation Committee.

METROPLUSHEALTH CURRENT STATE CPS

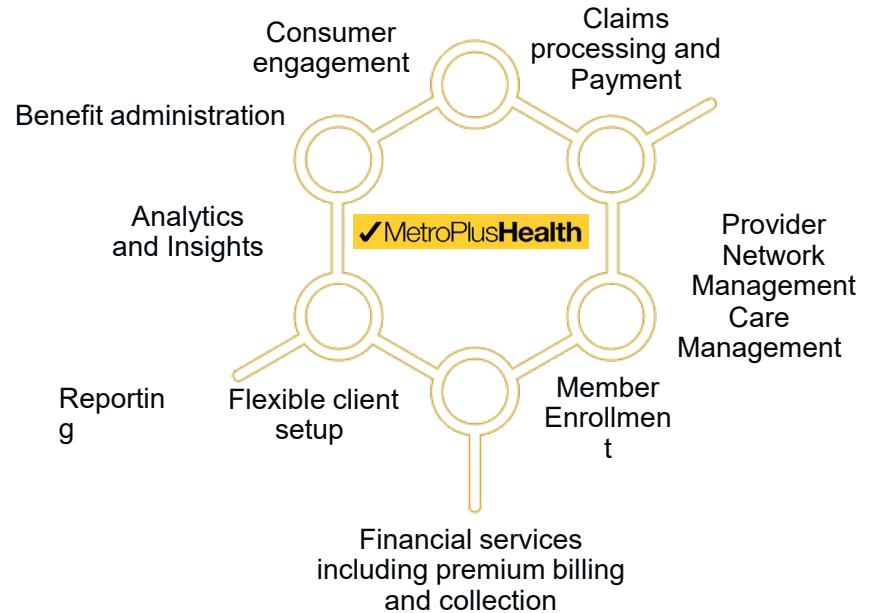
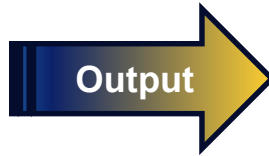


Future State
Integrated Platform

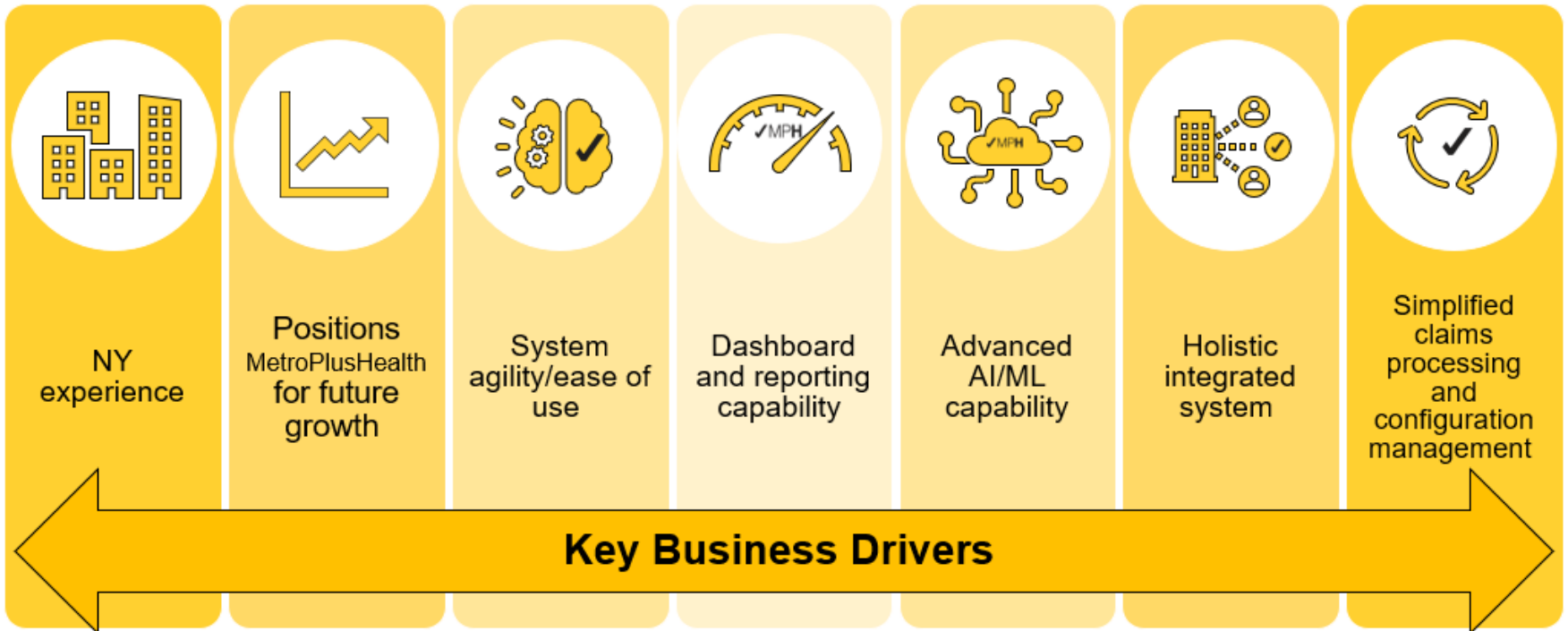


CPS AS ONE SOURCE OF TRUTH FOR ALL FUNDAMENTAL FUNCTIONS

Integrated Platform



HEALTHEDGE FIT FOR METROPLUSHEALTH



HEALTHEDGE STRENGTHS

- User-friendly, intuitive design that allows for speed to market.
- Well-positioned with next-generation technology to bring MPH into the future.
- Real-time operational data store for proactive analytics.
- Tight integration with acquired leading industry systems.
- Ability to integrate with EMRs including Epic.
- NY Medicaid claims' experience over 11 years.
- Experienced in all MetroPlusHealth Lines of Business.
- Nationally, nearly 1 in 4 Medicaid managed members are on the medical management platform.
- 105 total HealthEdge clients, 76+ million covered lives.
- 8 NY plans (2 on claims engine, 6 on medical management system).
- 550,000 NY members live on claims engine.

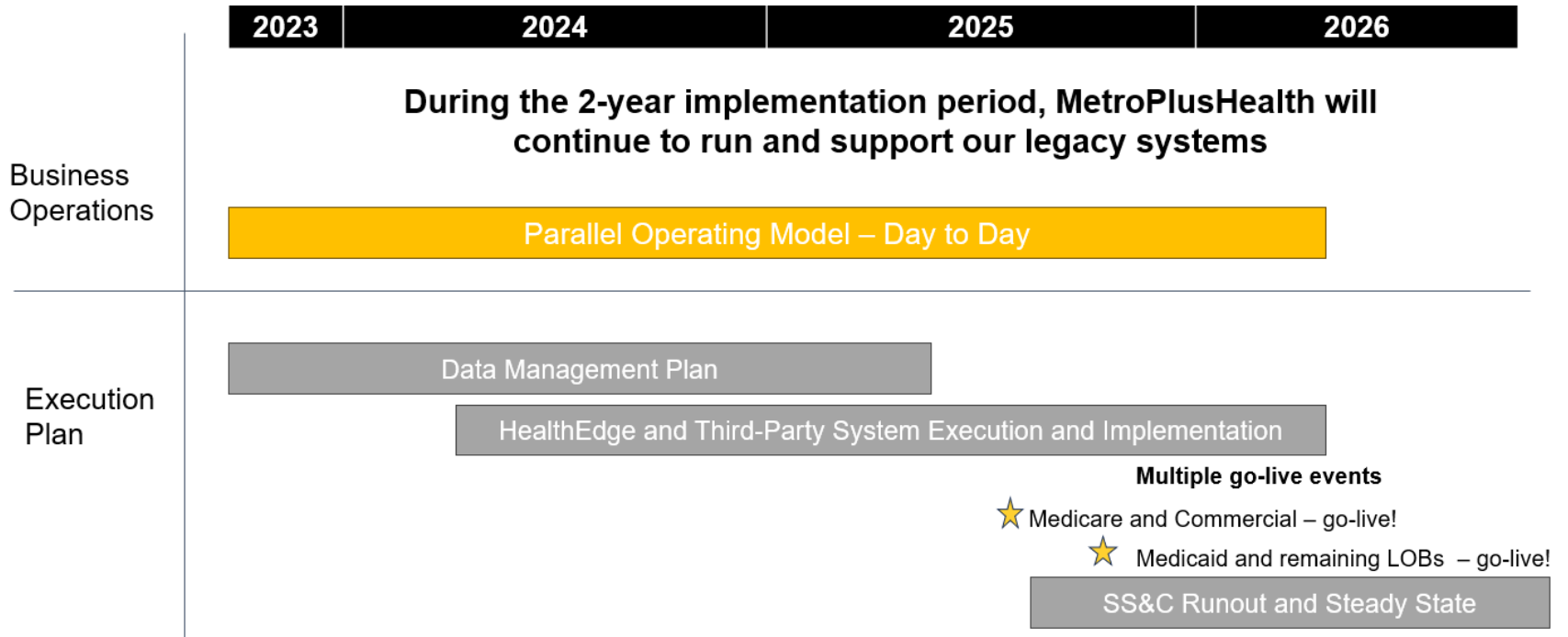
VENDOR STATUS

- ✓ **Vendor Responsibility** - Filed PASSPort Disclosure Filings (Vendex)
- ✓ **DOI VNC** - Approved
- ✓ **EEO** - In Progress
- ✓ **MWBE** -10%

MWBE UTILIZATION PLAN

- Under the proposed agreement, HealthEdge will commit 10% of the non-proprietary, patented software code and intellectual property, representing professional services, to its MWBE partner, Impresiv Health, LLC.
- Impresiv Health, LLC is an approved and certified NYC MWBE.
- Impresiv Health, LLC will provide project management services for HealthEdge.

PROPOSED GO LIVE TIMELINE



FUNDING

- The entire cost of the initial purchase of the system and the fees for the first year will be capitalized as an asset and will be funded from the Plan's unassigned reserves.
- This cost represents \$19M of \$109M.
- The annual System spend will be included in MetroPlusHealth's Administrative Loss Ratio (ALR) report.

BOARD APPROVAL REQUEST

- Seeking a 12-year contract (2 years of implementation and 10 years of production) with two 5-year renewal options.
- Not to exceed amount: **\$109,000,000** for the initial 12-year contract term, not including the two 5-year option extensions, which will be negotiated and brought back to the Board in the future.
- Expected contract start date: by March 1st, 2024.

RESOLUTION - 14

Authorizing New York City Health and Hospitals Corporation (the “System”) to execute a contract with **IVCi, LLC (“IVCi”)** for audio-visual design, installation and support services for a term of five years with two 1-year renewal options exercisable only by the System, for an amount not to exceed \$65,000,000.

WHEREAS, the System recognizes the role of audio-visual equipment in facilitating efficient communication, presentations and webcasts to its employees, business partners and the general public; and

WHEREAS, many of the System’s conference rooms, auditoriums and training rooms contain outdated audio-visual equipment that is not compatible with current technology in use by the System; and

WHEREAS, updating the System’s outdated audio-visual equipment will allow the System to share information more seamlessly with larger audiences and maximize the use of its conference rooms, auditoriums, and training rooms; and

WHEREAS, the System conducted an open, competitive RFP process under the supervision, and with the assistance of, Supply Chain, which consisted of a walkthrough of sample rooms at NYC Health + Hospitals/Harlem, followed by a pre-proposal conference attended by thirteen firms; and

WHEREAS, of the thirteen firms that attended the pre-proposal conference, five firms submitted proposals; and

WHEREAS, of the five proposals submitted, and based on demonstrations of functionalities of the services proposed, IVCi was given the highest ratings both for experience and qualifications; and

WHEREAS, the System’s Senior Assistant Vice President and Chief Technology Officer will be responsible for the management of the agreement.

NOW THEREFORE, be it

RESOLVED, that the New York City Health and Hospitals Corporation be and hereby is authorized to execute a contract with IVCi, LLC. for audio-visual design, installation and support services for a term of five years with two 1-year renewal options exercisable only by the System, for an amount not to exceed \$65,000,000.

EXECUTIVE SUMMARY
AUDIO/VISUAL DESIGN, INSTALLATION AND SUPPORT SERVICES CONTRACT
WITH IVCi, LLC

- OVERVIEW:** The System recognizes the role of audio-visual equipment in facilitating efficient communication, presentations and webcasts to its employees, business partners and the general public. Many of the System’s conference rooms, auditoriums and training rooms contain outdated audio-visual equipment that is not compatible with current technology in use by the System. The proposed contract will allow the System to share information more seamlessly with larger audiences, and maximize the use of its conference rooms, auditoriums, and training rooms.
- PROCUREMENT** The Request for Proposals for Audio/Visual Design, Installation and Support Services was released to the public on January 9, 2023 through the System’s Supply Chain Services Unit, under the supervision of the Contract Review Committee. On January 30, 2023, the System hosted a walkthrough of sample rooms at NYC Health +Hospitals/Harlem to interested firms. Thirteen vendors attended a pre-proposal conference held on February 1, 2023, and of those firms, five submitted proposals and conducted virtual presentations to the Evaluation Committee. The initial round of scoring by the Evaluation Committee resulted in a 0.3 difference between IVCi and the second highest rated proposer. IVCi’s rating was subsequently confirmed by the Evaluation Committee via hand vote consistent with OP 100-5, leading to the selection of IVCi to provide audio-visual design, installation and support services to the System.
- COSTS; TERMS:** The total not-to-exceed cost for the proposed contract over its full, potential seven-year term is not to exceed \$65,000,000. Funding will come from the department wishing to utilize the contract and will be approved on a project by project basis.
- MWBE:** IVCi will subcontract to G-Squared Electric, LLC, an MWBE, a portion (22%) of its audio-visual design, installation and support services. IVCi will identify an MWBE vendor to subcontract with for the remaining portion (8%) of services. The result will be a 30% MWBE subcontracting goal.



To: Colicia Hercules
Chief of Staff, Office of the Chair

From: Tiffany Reid-Perez
Associate Counsel
Office of Legal Affairs *TRP*

Re: Vendor Responsibility, EEO and MWBE status for Board review of contract

Vendor: IVCi, LLC

Date: August 10, 2023

The below chart indicates the vendor's status as to vendor responsibility, EEO and MWBE:

Vendor Responsibility

Approved

EEO

Approved

MWBE

30% Utilization Plan

The above status is consistent and appropriate with the applicable laws, regulations, and operating procedures to allow the Board of Directors to approve this contract.

Audio/Visual
Design, Installation and Support Services
Application to Award Contract
IVCi, LLC

Board of Directors Meeting
September 28, 2023

Jeffrey Lutz
CTO / Senior Assistant Vice President
EITS

- Authorizing New York City Health and Hospitals Corporation (the “System”) to execute a contract with **IVCi, LLC (“IVCi”)** for **audio-visual design, installation and support services** for a term of five years with two 1-year renewal options exercisable only by the System, for an amount not to exceed \$65,000,000.

Background / Current State

- Purpose of the RFP was to enter into a seven year contract for the design, installation and support of all audio / visual needs for any locations requiring these services including but not limited to: conference rooms, training rooms, auditoriums, board rooms, and emergency management command centers.
- Many of our conference rooms, auditoriums and training rooms are not supported and have out of date equipment that does not support current technology (ex. Webex), which can cause for issues when hosting meetings at these locations, while also trying to share these meetings with a larger audience.
- New contract will allow NYC H+H to take a consolidate a two step process and save on cost of doing the design.
- Since 1995, IVCI, LLC has been delivering A/V services to various clients worldwide across multiple industries including: Elevance Health, White & Case LLP, WPP LPC, Pernod Ricard, Uber, and Environmental Protection Agency.
- Partners with various technology leaders including Cisco, Crestron, Poly, LG and Sharp
- IVCI, LLC has worked with NYC H+H for the past 10 years in the design, installation, and support of the audio / visual needs including Board Rooms, Conference Rooms, Training Centers, Conference Center, Emergency Management Command Centers, Simulation Centers at 50 Water, 55 Water, and at various facilities across the enterprise.

RFP Criteria

➤ **Minimum criteria:**

- Experience: 5 years in the design, fabrication, assembly, installation and support of audio visual systems
- \$5 million in annual revenue for the last three fiscal years
- Technical Resources: personnel must have all certifications necessary to install the equipment including industry certifications and manufacturer certifications
- MWBE Utilization Plan, Waiver, or MWBE Certification

➤ **Evaluation Committee:**

- Director EITS Unified Communications
- Senior Director Unified Communications
- EITS Site Director Queens Hospital
- CEO Jacobi / NCB
- Senior Proj. Manager OFD
- Senior Director EITS
- Associate Executive Director Clinical Infosys
- Senior AVP, Clinical Infosys

➤ **Substantive Criteria**

- Experience 35%
- Technical Proposal 30%
- Cost 25%
- MWBE Utilization 10%

Overview of Procurement

- 09/27/22: Application to issue request for proposals approved by CRC
- 01/09/23: RFP Posted on City Record, sent directly to 14 vendors
- 01/30/23: Walkthrough of Harlem hospital held to show the differing rooms
- 02/01/23: Pre-proposal conference held, 13 vendors attended
- 02/22/23: Proposals due, five proposals received
- 03/16/23: Evaluation committee debriefed and determined virtual presentations were needed
- 05/09/23 - 05/23/23: All five firms conducted virtual presentations to the evaluation committee
- 06/02/23: Evaluation committee debriefed and submitted final scores.
- 07/12/23: Evaluation committee did a hand vote and IVCI, LLC was the highest rated proposer

Vendor Diversity

MWBE Vendor	Subcontractor SOW	NYC/NYS	M/WBE	Ethnicity	Total %
G-Squared Electric, LLC	Labor	NYC/NYS	WBE	Non-Minority	22%
Derive Technologies	Goods	NYC/NYS	MBE	ASIAN	13%
MWBE Goal to be applied					35%

Department of Supply Chain
Vendor Performance Evaluation

IVCI, LLC

DESCRIPTION	ANSWER
Did the vendor meet its budgetary goals, exercising reasonable efforts to contain costs, including change order pricing?	Yes
Has the vendor met any/all of the minority, women and emerging business enterprise participation goals and/or Local Business enterprise requirements, to the extent applicable?	Yes
Did the vendor and any/all subcontractors comply with applicable Prevailing Wage requirements?	Yes
Did the vendor maintain adequate records and logs, and did it submit accurate, complete and timely payment requisitions, fiscal reports and invoices, change order proposals, timesheets and other required daily and periodic record submissions (as applicable)?	Yes
Did the vendor submit its proposed subcontractors for approval in advance of all work by such subcontractors?	Yes
Did the vendor pay its suppliers and subcontractors, if any, promptly?	Yes
Did the vendor and its subcontractors perform the contract with the requisite technical skill and expertise?	Yes
Did the vendor adequately supervise the contract and its personnel, and did its supervisors demonstrate the requisite technical skill and expertise to advance the work?	Yes
Did the vendor adequately staff the contract?	Yes
Did the vendor fully comply with all applicable safety standards and maintain the site in an appropriate and safe condition?	Yes
Did the vendor fully cooperate with the agency, e.g., by participating in necessary meetings, responding to agency orders and assisting the agency in addressing complaints from the community during the construction as applicable?	Yes
Did the vendor adequately identify and promptly notify the agency of any issues or conditions that could affect the quality of work or result in delays, and did it adequately and promptly assist the agency in resolving problems?	Yes
Performance and Overall Quality Rating Satisfactory	Yes



Board of Directors Approval Request

- EITS is seeking approval to enter into contract with IVCI, LLC to provide all design, installation and support services for Audio/Visual (A/V) equipment and services at a not to exceed amount of \$65 million
- The contract would start January 2024 for a term of five years, with two one-year renewal options.
- Termination for convenience exercisable at the discretion of NYC Health + Hospitals

RESOLUTION - 15

Authorizing New York City Health and Hospitals Corporation (the “System”) to execute a contract with **Experian, Inc. (“Experian”)** for **EDI clearinghouse services** for a term of three years with two 1-year renewal options exercisable only by the System, for an amount not to exceed \$25,000,000.

WHEREAS, an electronic data interchange (EDI) healthcare clearinghouse processes or facilitates the processing of health information received in a nonstandard format, or containing nonstandard data content, into HIPAA-standard data elements; and

WHEREAS, EDI clearinghouse services save organizational costs by minimizing the individual rules that the organization must maintain, enhancing information security, minimizing the number of individual connections that the organization must maintain, maximizing the electronic transmission of data, and ultimately increasing speed to payment; and

WHEREAS, the System conducted an open, competitive RFP process under the supervision, and with the assistance of, Supply Chain and had seven firms attend a pre-proposal conference of which seven submitted proposals; and

WHEREAS, the Evaluation Committee conducted an initial round of scoring; and

WHEREAS, of the seven firms that submitted proposals, four were shortlisted and invited to present their proposals to the Evaluation Committee; and

WHEREAS, of the four shortlisted firms, and based on demonstrations of functionalities of the services proposed, Experian was given the highest ratings for needs fulfillment and quality; and

WHEREAS, the System’s Chief Revenue Officer will be responsible for the management of the agreement.


NOW THEREFORE, be it

RESOLVED, that the New York City Health and Hospitals Corporation be and hereby is authorized to execute a contract with Experian, Inc. for EDI clearinghouse services for a term of three years with two one-year renewal options exercisable only by the System, for an amount not to exceed \$25,000,000

**EXECUTIVE SUMMARY
EDI CLEARINGHOUSE SERVICES CONTRACT
WITH EXPERIAN, INC.**

- OVERVIEW:** An electronic data (EDI) healthcare clearinghouse processes or facilitates the processing of health information received in a nonstandard format, or containing nonstandard data content, into HIPAA-standard data elements. EDI clearinghouse services save organizational costs by minimizing the individual rules that the organization must maintain, enhancing information security, minimizing the number of individual connections that the organization must maintain, maximizing the electronic transmission of data, and ultimately increasing the speed of payment.
- PROCUREMENT** The Request for Proposals for an EDI Clearinghouse Vendor was released to the public on November 16, 2022 through the System’s Supply Chain Services Unit, under the supervision of the Contract Review Committee, leading to the selection of Experian to provide EDI Clearinghouse services to the System.
- COSTS:** The total not-to-exceed cost for the proposed contract over its full, potential five-year term is 25,000,000.
- MWBE:** This contract has been exempted from the MWBE program as there are no scopes of work that are being subcontracted for the exclusive benefit of the System.

To: Colicia Hercules
Chief of Staff, Office of the Chair

From: Tiffany Reid-Perez
Associate Counsel
Office of Legal Affairs 

Re: Vendor Responsibility, EEO and MWBE status for Board review of contract

Vendor: Experian, Inc.

Date: August 28, 2023

The below chart indicates the vendor's status as to vendor responsibility, EEO and MWBE:

Vendor Responsibility

Pending

EEO

Pending

MWBE

Exempt

The above status is consistent and appropriate with the applicable laws, regulations, and operating procedures to allow the Board of Directors to approve this contract.

Experian
Electronic Data Interchange (EDI)
Clearinghouse Procurement

Board of Directors Meeting
September 28, 2023

Marji Karlin, Chief Revenue Officer
Florencio Basquez, Associate Director
Revenue Cycle Services



- Authorizing New York City Health and Hospitals Corporation (the “System”) to execute a contract with **Experian, Inc.** (“**Experian**”) for **EDI clearinghouse services** for a term of three years with two 1-year renewal options exercisable only by the System, for an amount not to exceed \$25,000,000.

Background

- According to HIPAA Administrative Simplification Regulations a healthcare clearinghouse processes or facilitates the processing of health information received in a nonstandard format or containing nonstandard data content into standard data HIPAA elements.
- A clearinghouse can be viewed as the “middleman” between a healthcare provider and a health plan, facilitating the exchange of electronic data
- An effective clearinghouse provides:
 - Specific payer rules and checks (scrubs) claims for errors against those rules
 - HIPAA compliant data sets and standards for eligibility checking, claims, claim inquiry, authorizations and remittances
 - Electronic connections with various payers for all of those transactions
 - Related services – address verification, payment propensity scoring
- Clearinghouse services save organizational costs by minimizing the individual rules that the organization must maintain, enhancing information security, minimizing number of individual connections that the organization must maintain, maximizing electronic transmission, and ultimately increasing speed to payment

Background

- Currently, Optum provides clearinghouse services to New York City Health + Hospitals through a variety of their product offerings: *Clearance, Assurance, Coverage Insight* and others
 - The Optum contract was awarded through a Best Interest Contract during Epic implementation
 - H+H awarded the contract to Change Healthcare in 2018
 - In October of 2022, Change Healthcare was purchased by Optum a subsidiary of UnitedHealth
 - The current contract expires in October 2023
 - This is a 5 year, \$29M contract with Optum
 - Costs for these services include monthly and per transaction fees

RFP Criteria

- Minimum criteria:
 - 5 years in business
 - New York State Medicaid experience
 - Epic Integration/Experience with similarly sized provider networks
 - Annual Revenue in excess of \$25,000,000
- Substantive Criteria
 - 30% Needs Fulfillment
 - 25% Cost
 - 25% Quality of Services/Products Offered
 - 20% Reputation and References
- Evaluation Committee:
 - Chief Revenue Officer
 - AVP, Patient Accounts
 - Asst. Director, EITS, Claims
 - AVP Learning & Development
 - Assoc. Director, RCS
 - Senior Director RCS
 - CFO, Woodhull
 - Patient Account Director, Metropolitan
 - Asst. Director, EITS, Patient Access
 - Director Patient Access

Overview of Procurement

- 11/16/22: RFP posted on City Record, sent directly to eight vendors
- 12/06/22: Pre-Proposal conference held, seven vendors attended
- 01/13/23: Proposal deadline, seven proposals received
- 05/24/23: Evaluation committee submitted first round of scores. Four firms were shortlisted across two scopes of work
- 06/08/23-06/14/23: Shortlisted firms conducted vendor presentations
- 08/23/23: Reference checks completed and final pricing / scoring submitted; Experian vendor was the highest rated proposer

Experian Background

- Experian is our current vendor for merchant services, they provide credit card terminals and the connection for processing credit card transactions between NYC Health + Hospitals and the bank. Performance here is strong.
- Experian has provided services to over 60% of the hospitals in the US for revenue cycle management, identity management, patient engagement, and care management solutions
- Experian's strength comes from the heritage of their legacy healthcare companies, using deep data and analytics to help clients improve in today's value-based environment
- To support over 240 Epic clients, Experian has hired former Epic employees and dedicates multiple resources to ensure that its products complement Epic and automate client workflows. These specialized individuals focus on Epic integration.
- Reference checks completed and successful

Vendor Diversity Due Diligence

- The Vendor Diversity team performed an availability and capacity analysis by identifying each potential scope of work available for subcontracting under this solicitation and researching the MWBE directories for each such scope of work.
- Only one MWBE was identified that could perform a subset of a scope of work. Accordingly, there was insufficient availability and capacity to set a Vendor Diversity Component Percentage on this RFP.
- As part of ongoing due diligence, the vendor diversity team had extensive conversations with the top three scoring vendors to ensure no scope of work for subcontracting was missed.
- Scopes of work were reviewed, and none of the vendors plan to subcontract out any portion of the scope of work related to this solicitation. However, all were open to using diverse vendors should any subcontracting opportunity arise during the term of the contract.
- Each phase of the project is expected to be in short, discrete phases which will be fully self-performed by in house employee teams.
- Additionally, the vendor shared their internal DEI programs and policies. Experian in particular has a robust national supplier diversity program and works extensively with national certification entities such as NMSDC and WBENC.

- Revenue Cycle Services is seeking to award a contract to Experian to:

Provide full EDI Clearinghouse services at a not to exceed amount of \$25,000,000 and;

- Requested contract terms: three years with two one-year renewal options at the discretion of NYC Health + Hospitals
- Anticipated start date of July 1, 2024

RESOLUTION - 16

Authorizing New York City Health and Hospitals Corporation **(the “System”)** to extend its current contract with **Optum, Inc. (“Optum”)** for an additional 12-month term for an amount not to exceed \$5,862,541.

WHEREAS, an electronic data interchange (EDI) healthcare clearinghouse processes or facilitates the processing of health information received in a nonstandard format, or containing nonstandard data content, into HIPAA-standard data elements; and

WHEREAS, EDI clearinghouse services save organizational costs by minimizing the individual rules that the organization must maintain, enhancing information security, minimizing the number of individual connections that the organization must maintain, maximizing the electronic transmission of data, and ultimately increasing speed to payment; and

WHEREAS, Optum is the incumbent vendor for EDI clearinghouse services; and

WHEREAS, the contract with Optum expires in October 2023 and will require a 12-month extension with a not to exceed amount of \$5,862,541 to allow time for the transition to a newly procured clearinghouse provider; and

WHEREAS, the System’s Chief Revenue Officer will be responsible for the management of the agreement.


NOW THEREFORE, be it

RESOLVED, that the New York City Health and Hospitals Corporation be and hereby is authorized to extend its contract with Optum, Inc. for EDI clearinghouse services for a term of 12 months, for an amount not to exceed \$5,862,541

**EXECUTIVE SUMMARY
EDI CLEARINGHOUSE SERVICES CONTRACT
WITH OPTUM, INC.**

- OVERVIEW:** An electronic data (EDI) healthcare clearinghouse processes or facilitates the processing of health information received in a nonstandard format, or containing nonstandard data content, into HIPAA-standard data elements. EDI clearinghouse services save organizational costs by minimizing the individual rules that the organization must maintain, enhancing information security, minimizing the number of individual connections that the organization must maintain, maximizing the electronic transmission of data, and ultimately increasing the speed of payment.
- PROCUREMENT** Optum was procured by the System's Supply Chain Services Unit, through a Best Interest Contract at the time of the System's Epic implementation.
- COSTS:** The total not-to-exceed cost for the proposed 12-month contract extension with Optum is \$5,862,541.
- MWBE:** This contract has been exempted from the MWBE program as there are no scopes of work that are being subcontracted for the exclusive benefit of the System.

To: Colicia Hercules
Chief of Staff, Office of the Chair

From: Tiffany Reid-Perez 
Associate Counsel
Office of Legal Affairs

Re: Vendor Responsibility, EEO and MWBE status for Board review of contract

Vendor: Optum, Inc.

Date: September 19, 2023

The below chart indicates the vendor's status as to vendor responsibility, EEO and MWBE:

Vendor Responsibility

Pending

EEO

Approved

MWBE

Exempt

The above status is consistent and appropriate with the applicable laws, regulations, and operating procedures to allow the Board of Directors to approve this contract.

Optum
Electronic Data Interchange (EDI)
Clearinghouse Contract Extension

Board of Directors Meeting
September 28, 2023

Marji Karlin, Chief Revenue Officer
Florencio Basquez, Associate Director
Revenue Cycle Services



- Authorizing New York City Health and Hospitals Corporation (the “System”) to **extend its current contract with Optum, Inc. (“Optum”)** for an additional 12-month term for an amount not to exceed \$5,862,541

Background

- Currently Optum provides clearinghouse services to New York City Health + Hospitals through a variety of their product offerings: *Clearance, Assurance, Coverage Insight* and others
 - The Optum contract was awarded through a Best Interest Contract during Epic implementation
 - The current contract is expiring in October 2023
 - A 12 month extension is requested to October of 2024
 - The new clearinghouse vendor is anticipated to start in July of 2024
 - An overlapping period is needed to account for unexpected delays
 - NYC Health + Hospitals' revenue cycle requires a clearinghouse to maintain the continuity of its operations

Board of Directors Request for Approval

➤ Revenue Cycle Services is seeking to:

Extend the current contract with Optum by 12 months at a not to exceed amount of \$5,862,541 to allow time for vendor implementation with the newly selected clearinghouse